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## ABSTRACT

A study was undertaken to develop a strategic plan for the Information Services Division of the Harold B. Lee Library (HBLL) at Brigham Young University (Utah). A secondary purpose of the study was to produce a model for strategic planning for public service units of academic libraries in Utah. A questionnaire was sent to administrators of member libraries in the Utah College Library Council (UCLC) to determine their interest in having a strategic planning model for their libraries. Data were gathered over a period of three and a half months from a planning group and subjected to basic descriptive statistical techniques. The study resulted in a strategic plan for HBLL and a planning model for the UCLC libraries. Both the plan for the division and the model were developed by using strategic planning activities: (1) identifying the mission; (2) analyzing the environment; (3) identifying current programs; (4) applying Stiener's WOTS-Up analysis; (5) developing goals and objectives in support of the mission; (6) identifying strategies; and (7) developing the plan. This document includes an introduction; a review of the related literature; descriptions of procedures and methodology; presentation of results; and interpretation, conclusions, and recommendations. A five-page bibliography and extensive appendices are included. (Author/THC)

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DEVELOPMENT OF A STRATEGIC PLAN FOR THE  
HAROLD B. LEE LIBRARY: A MODEL  
FOR THE LIBRARY PUBLIC SERVICES

by

Larry Ostler

A Major Applied Research Project  
presented in partial fulfillment of the  
requirements for the degree of  
Doctor of Education

Nova University

June, 1985

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Abstract of a Major Applied Research Project  
Presented to Nova University in Partial  
Fulfillment of the Requirements for  
the Degree of Doctor of Education

DEVELOPMENT OF A STRATEGIC PLAN FOR THE  
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The purpose of this study was to develop a strategic plan for the Information Services Division of the Harold B. Lee Library. A secondary purpose of the study was to produce a model for strategic planning for public service units of academic libraries in Utah.

Procedures and Methodology

Potential participants in the planning process were interviewed to determine their interest in developing a strategic plan for the Information Services Division of the Harold B. Lee Library (HBLL) at Brigham Young University. An opinionnaire was also developed and sent to administrators of the libraries in the Utah College Library Council (UCLC) to determine their interest in having a strategic planning model for their libraries. Over a period of three and a half months, data were gathered from the planning group and subjected to basic descriptive statistical techniques in



which frequency distribution and percentages were completed and presented in tables and figures.

### Results, Conclusions and Recommendations

The study resulted in a strategic plan for the Information Services Division of the HBLL and a planning model for the UCLC libraries. Both the plan for the division and the model were developed by using strategic planning activities: 1) identifying the mission, 2) analyzing the environment, 3) identifying current programs, 4) applying Stiener's WOTS-UP analysis, 5) developing goals and objectives in support of the mission, 6) identifying strategies and 7) developing the plan. These activities were evaluated by the participants and a panel of experts in strategic planning. Both the participants and the experts identified the activities leading up to the plan and the model as being characteristic of strategic planning.

The study resulted in the following conclusions:

1. Library leaders recognize that the use of strategic planning techniques is a more effective way for libraries to meet the challenges of the future.
2. Effective short-range and medium-range planning has not been effective for the Information Services Division of the HBLL.
3. Department chairs of the Information Services Division were the appropriate body to develop a strategic plan for the division.

4. Systematically using established strategic planning techniques produced a valid strategic plan.
5. The planning activities produced a model that can be used in other UCLC libraries.

The study resulted in the following recommendations:

1. The members of the planning group should implement the specific strategic activities incorporated in their individual plans during Summer and Fall semesters, 1985.
2. The members of the planning group should continue to develop goals, objectives and strategies to support the agreed upon mission statement of the division.
3. Other divisions in the library should employ strategic planning techniques.
4. UCLC member libraries should introduce strategic planning in their libraries as a result of exposure to the planning model.
5. The members of the planning group should provide inservice training in strategic planning techniques for departmental employees in their program area.

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## CHAPTER 1

### INTRODUCTION

The need to provide the managers of the Information Services Division of the Lee Library with an alternative planning system was the stimulus to the development of a strategic plan (Emshoff 1980). Other planning systems had been utilized in the past, but strategic planning techniques had not been used to address the rapidly changing and sometimes deteriorating environment in the Lee Library or, in fact, in libraries generally. A secondary purpose of this study was to develop a planning model that could be shared with the other academic libraries who are members of the Utah College Library Council (UCLC). This model was developed after data were collected from the management team of the Information Services Division of the Lee Library as well as the directors of UCLC member libraries.

#### Background and Significance

A church-owned university, Brigham Young University (BYU) is one of eleven institutions of higher education in Utah. BYU draws its students primarily from members of the Church of Jesus Christ of Latter-day Saints (LDS) who live

in the Western United States. Increasing ethnic diversity, however, is evident as the LDS Church expands worldwide.

The Library, with a two-million-plus volume collection, is a member of UCLC and the prestigious Research Libraries Group (RLG). The staff is composed of 150 full-time persons with 300 part-time employees. The Information Services Division has 40 full-time and 70 part-time employees.

Although the personnel of the Information Services Division have been involved in significant long-range planning activities in the past, an informal needs assessment survey demonstrated that potential participants appear to have had little or no exposure to strategic planning techniques. While only a basic introduction to the concepts of strategic planning was given to the department chairs of the division, they have accepted these general concepts for future planning (Klein and Newman 1980:40). These potential participants agreed that traditional planning strategies used in the past have not met the challenges of the general economic decline (see Minutes, Appendix F) and that strategic planning could resolve problems in the future.

Some concern was expressed by personnel of the Information Services Division that strategic planning might be another fad such as the Planning, Programming, and Budgeting System (PPBS), Management by Objectives (MBO), Program Evaluation Research Task (PERT), and Management Information System (MIS). According to the members of this division these

planning systems produced plans that were seldom utilized.

Disillusionment among managers in higher education has been prevalent because, as Baldrige and Okimi (1982:15) suggest, "the concept of long-range plans has often received lip service while the master plan itself collects dust in an administrator's office." The fundamental problem of traditional planning was that the behavior of administrators as described in planning models did not correspond with the way administrators work (Ohmae 1982:10). Many planning models had been clear about how administrators ought to behave, but, as Baldrige and Okimi (1982:15) affirm, "compared to this theoretical ideal, most administrators must be ineffective." Instead administrators needed a planning system that addressed the real administrative environment. Issues such as crisis management, goal complexity, short-term decision making and political skills all addressed by strategic planning enable managers to choose among alternative endeavors (Whittaker 1979:5).

Strategic planning promises to correct this problem (Spec. Flyer 1984:1). Again, according to Baldrige and Okimi (1982:16), "the central focus of strategic planning is developing a good fit between the organization's activities and the demands of surrounding environments." Strategic planning emphasizes several things: long-range destiny of the organization, competition within and without the organization, markets from its products and services,

and the mix of internal resources to accomplish the organization's purposes. It attempts to go beyond the more familiar planning efforts to redefine and focus on the basic nature of the institution (SPEC Flyer 1984:1).

Additionally, strategic planning emphasizes flexibility and quick responses to changes, looking outward, not inward. Kotler and Murphy (1981:470) have noted that "if college and universities are to survive the troubled years ahead, a strong emphasis on planning is essential." The type of planning that appears to be most appropriate for the future is "strategic market planning" (Kotler & Murphy 1981:470). The expectation with strategic planning is that if a library can skillfully choose areas in which it has an advantage or special opportunity and then concentrate its resources in those areas, the institution can achieve excellence far beyond that which the size or the resources of the university would normally allow.

Baldrige and Okimi (1982:17) have developed a table showing a comparison between strategic planning and conventional planning. As noted below, strategic planning focuses on an organization's destiny and ultimate mission with particular emphasis on its environment.



TABLE 1  
Comparison of Strategic Planning and  
Conventional Planning

| <u>Activity</u>         | <u>Strategic<br/>Planning</u>        | <u>Conventional<br/>Planning</u>              |
|-------------------------|--------------------------------------|-----------------------------------------------|
| Area of Planning        | 1. Organization's Destiny, Market    | Wide Range of Issues, Non-routine and routine |
| Who Plans               | 2. Top-level Officers                | Planning Office                               |
| Time Orientation        | 3. Medium/Short Range                | Long Range                                    |
| System Perspective      | 4. External Environmental            | Internal Organizational                       |
| Theoretical Perspective | 5. Open System                       | Closed System                                 |
| Decision Data           | 6. Both Quantitative and Qualitative | Quantitative                                  |
| Decision                | 7. Complex Art Form                  | Exact Science                                 |
| Outcome                 | 8. Stream of Critical Decisions      | Plan, Blueprint                               |

#### Statement of the Problem

Brigham Young University (BYU) and the Harold B. Lee Library (HBLL), like other nonprofit institutions of higher education, have grown without any apparent plan on how to effectively deal with a declining economy. However, this lack created a strong need for implementing a strategic planning model. The library mission statement (1980:1) also was conducive to the introduction of the strategic planning process: "establish an administrative structure that will

assure maximum effectiveness in innovative planning and decision making." Thus a climate existed in the HBLL to develop a strategic plan to encourage hard work and high-level achievement with the personnel of the Information Services Division of the Library.

Simply addressing the issue of strategic planning in a nonprofit organization will not by effect change. But as Horner (1979:13) has pointed out:

The emphasis of strategic planning is not simply what issues are addressed, but how they are addressed. Specifically, strategic planning implies a rigorous, comprehensive and systematic approach, although several variations have proved useful.

The subject of a recent SPEC Flyer #108 (1984:1-2) from the Association of Research Libraries, strategic planning has become identified as a priority for some research libraries. Interest in non-traditional planning systems is on the upswing. Wood (1983:15) notes that "libraries must consider adopting the business concepts, marketing and strategic planning, if they are to survive the challenges of the eighties."

Planning for "excellence" has also been a consistent theme of BYU President Jeffrey Holland. Challenging every facet of the university's organization, Holland (1981:9) has stated:

These qualitative choices we will increasingly be forced to make at BYU are obviously central to the future course of the university and will require careful, prayerful planning and review.

In a memorandum (see Appendix A) to the researcher dated November 1, 1985, Sterling Albrecht, University Librarian, stated:

Planning strategically for the problems ahead and those that we now face in the Information Services Division in particular is precisely what is needed to help the library move ahead in the 80's.

He further commented "that it is this kind of planning which cannot only serve as a model for the rest of the library but for the entire academic community as well." Karen Butter (see Appendix B), chairperson of the Public Services Committee of UCLC, also encouraged the development of a strategic plan that can become a model for use in other academic libraries in Utah.

#### Specific Problems

Because budgets are declining in libraries, strategic planning could become a valuable management tool for an appropriate response to this situation. Academic libraries have undergone a reduction in level of support since 1977, and according to Leach (1984:3) they may never recover this loss. Loss of buying power through inflationary price increases for library materials during the past ten years has caused substantial declines in serials subscriptions. Book purchases have also declined, but not as sharply as journals. For example, in Library Issues (1984:1-2) Leach notes:

Libraries have been dealt a severe economic blow during the past seven years. While book prices increased 60 percent between 1977 and 1983,

similar to the 63 percent increase for all consumer goods, periodical prices have increased 104 percent during the same period. As a result, many libraries have been forced to cancel subscriptions and/or shift book funds to cover periodical subscriptions costs. In some cases, this represents 75 percent of an academic library's budget.

The library community has been more severely affected by declining economic conditions than other segments of society. Figure 1 shows how prices rose from 1977 (as the base year). Notable especially are periodicals compared to all other areas:

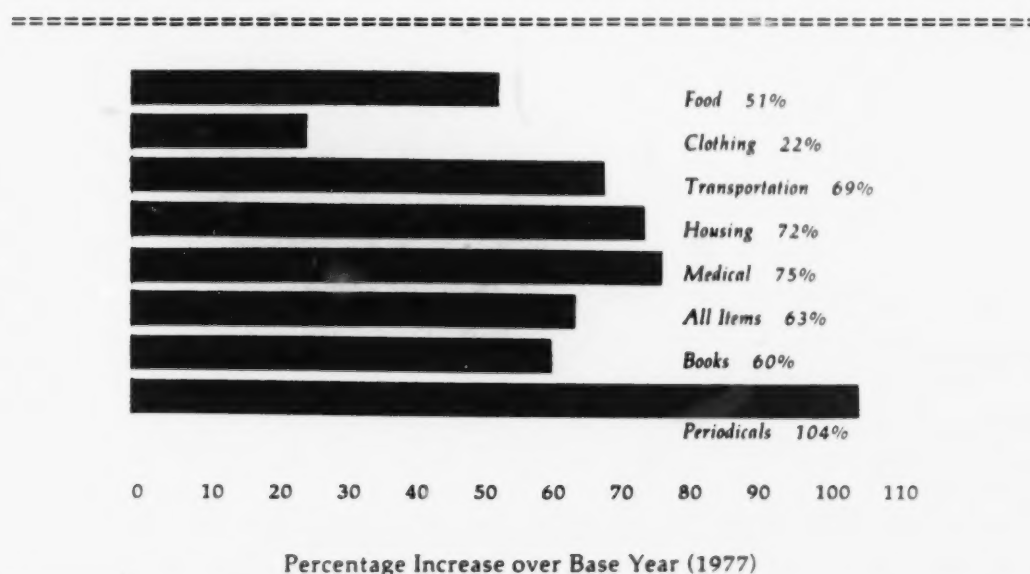


**Figure 1**  
**How Prices Rose 1977-1983**  
 (1977 = 100 and/or 0%)

**Sources:**

"Price Indexes for 1983," *Library Journal*, September 1, 1983.

*The Bowker Annual of Library & Book Trade Information*, 1968-1984.

"Title Output and Average Prices, 1983 Preliminary Figures," *Publishers Weekly*, March 6, 1984.

"U.S. Department of Labor Statistics," *Monthly Labor Review*, June 1984.

Not only have materials costs risen sharply, but numerous other problems have also appeared: space is at a premium; library book collections are deteriorating physically; services suffer from chronic understaffing; and library collections are inadequate to satisfy the research needs of students and scholars (Dougherty 1982:3). While (1982:4) admitting that his "predecessors also wrestled with space crises, paper deterioration, understaffing and inadequate acquisitions budgets," Dougherty noted:

The principal difference today is one of magnitude. Many traditional library procedures such as book purchasing, invoice payment, circulation, cataloging, and interlibrary loan are labor intensive and are becoming prohibitively expensive. Research libraries have no option but to adopt labor-saving technologies, if services are to be maintained at traditional levels of quality; it is the need to assimilate new technologies coupled with the accelerating rate of change that will test the fiber of our organizations.

Another graphic indicator of economic decline in libraries from an earlier period is displayed in Figure 2, which shows percent of increases experienced by other segments of society as compared to books and periodicals:

| =====                    |            |
|--------------------------|------------|
|                          | % Increase |
| Clothing . . . . .       | 66%        |
| Transportation . . . . . | 112        |
| All Items . . . . .      | 117        |
| Housing . . . . .        | 127        |
| Food . . . . .           | 128        |
| Medical . . . . .        | 140        |
| BOOKS . . . . .          | 273%       |
| PERIODICALS . . . . .    | 398%       |
| -----                    |            |

Figure 2  
How U.S. Prices Rose 1969-1979  
(1967-1969 = 100 and/or Zero Percent)

The impact of this economic condition in libraries has been carefully documented by the Library at the University of Pennsylvania. Figures 3-5 show how University of Pennsylvania Library expenditures rose and acquisitions and staff positions declined, respectively.

|                    | <u>1969-70</u> | <u>1979-80</u> | <u>% Increase</u> |
|--------------------|----------------|----------------|-------------------|
| *Salaries          | 2,122,652      | 3,997,284      | 88%               |
| Books and Journals | 919,020        | 1,769,604      | 93%               |
| Binding            | 159,559        | 416,791        | 161%              |
| Current Expense    | 199,539        | 754,726        | 279%              |
| Total              | 3,400,770      | 6,938,405      | 104%              |

\*Excludes Employee Benefits, n.a. for 1969-70

Figure 3

How University of Pennsylvania Library  
Expenditures Rose 1969-1980

|               | <u>1971-72</u> | <u>1980-81</u> | <u>% Decline</u> |
|---------------|----------------|----------------|------------------|
| Volumes Added | 102,000        | 74,473         | -27%             |

Figure 4

How University of Pennsylvania Library  
Acquisitions Declined 1972-1981

|                    | <u>1971-72</u> | <u>1980-81</u> | <u>% Decline</u> |
|--------------------|----------------|----------------|------------------|
| Budgeted Positions | 288            | 244            | -15%             |

Figure 5

How University of Pennsylvania Library  
Positions Declined 1972-1981



Another complicating economic factor, according to De Gennaro (1981:1), was the dramatic increase (figure 6) in science and technology publications. Economic predictions for colleges and universities continue to point toward decline. While the extent of this decline has not been calculated, experts such as De Gennaro (1981:3) and Dougherty (1984:3) agreed that libraries faced an era of cutbacks. This changing environment is characterized by declining enrollment trends, financial exigencies, new federal policy and other unexpected disasters. Institutions have responded to this new environment by becoming smaller, going out of business, merging or consolidating (Cameron 1983:359), when in fact the real answer lies in strategic planning.

Leaders in higher education generally have not been able to cope with this new milieu (Riggs 1984:9). Kotler and Murphy (1981:470) have noted that

Most colleges and universities are not set up with strategic planning capacity. They (the managers) are basically good at operations, that is efficiently doing the same things day after day.

This new environmental change has caused leaders in higher education to react conservatively (Riggs 1984:9). Cameron has (1983:361) listed three reasons for this reactive stance:

First, the experience of most administrators and managers has largely been in responding to conditions of growth nearly universal during the 1950's, 1960's and early 1970's. Educational leaders from this era are simply not equipped with the appropriate skills for this new environment. Sadly, we know little about how to handle decline



and exactly what new skills are required for survival.

=====

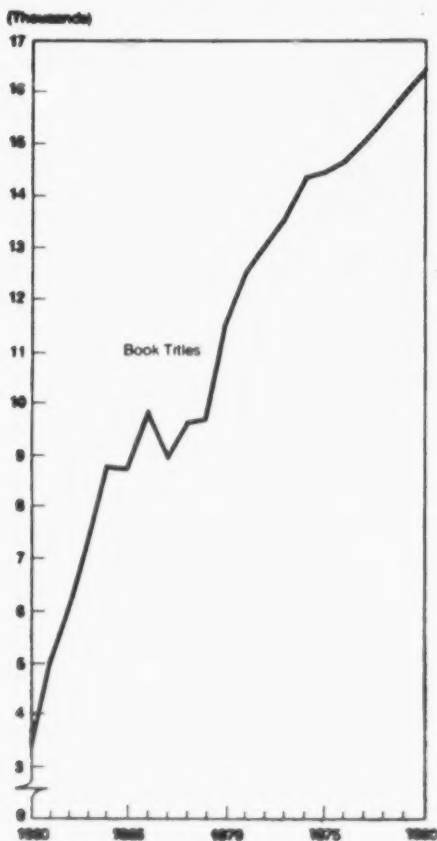


Figure 6

How Science and Technology Book Titles

Published Rose 1960-1980

Source: Based on The Bowker Annual, R. R. Bowker, Co., 1961-1976.

"Second," Cameron continued, "the values and ideology of our culture emphasize growth and expansion as being

indicative of effectiveness." Managers were rewarded positively if they produced more, obtained a larger budget, or expanded their organizations. "Finally," Cameron concluded, "most current organizational theory is based on assumptions of growth." Problems of decline are ignored. The more uncertainty and turbulence in the environment, the more the organization should expand and grow. Organizational theory allows only for management of growth. Theorists such as Boulding (1975:8) in the field of organizational behavior based their perspectives of organizations on assumptions of growth. These theorists concluded that decline has either been ignored as a possibility or is being treated as a temporary condition.

Library administrators also fit this pattern (Riggs 1984:6). This reaction to declining economic conditions by managers has led Rubin (1979:211) to comment, "Educational organizations are doing basically less of the same." De Gennaro agreed (1981:1) when he stated, "The library is buying an ever-decreasing percentage of the rapidly growing output of the world's publishers." Even Stanford University's Weber (1981:14) concurred, warning, "Stanford will never have more than a modest proportion of what is needed." This orientation toward conservation and efficiency may not be in the best long-term interests of higher education. This defensive posture reduced the overall operation of the organization and tended to ignore the realistic and assertive

approach prescribed by the proponents of strategic planning (Cameron 1983:367). Whetton (1980: n.p.) argued that administrators in universities tend to focus on efficiency at the expense of effectiveness when facing decline and to respond conservatively rather than innovatively.

Reasons for this bias toward efficiency and conservation fell into six categories (Cameron 1981:362). First, organizational effectiveness had been extremely difficult to define. Because efficiency was more easily measured, especially in organizations like colleges and universities, effectiveness had been largely ignored.

Second, the stress resulting from having to face conditions of decline compelled individuals to engage in conservative and self-protective behavior. According to Cameron (1983:363), a common side effect of decline is personal stress among managers; and research has shown that the consequences of this decline-induced stress are: (1) engaging in anxiety-reducing behaviors at the expense of problem-solving behaviors, (2) reducing the risk of mistakes (which are more visible under conditions of decline) by becoming conservative, (3) restricting the communication network, (4) reducing the number of participants in decision making, (5) enforcing rules more closely, (6) rejecting disconfirming or contrary information more readily, (7) perceiving tasks and decisions to be more difficult, and (8) being prone to "groupthink" dynamics.

Third, there was a tendency to pursue strategies that were successful in the past--during times of abundance and growth--even though they were inappropriate under current conditions of decline. Conditions of decline are often viewed as outside the administrator's control; thus no proactive responses are forthcoming (Cameron 1983:363).

Fourth, colleges and universities were frequently structured as loosely coupled systems, governed by committees and semiautonomous units. With multiple constituents to satisfy and each with vested interests, good decisions are not likely. Loose organizational structure cripples managers in postsecondary education from making good strategic responses. (Cameron 1983:364).

Fifth, most creative and innovative individuals were first to leave an organization when decline occurred. These same individuals are, of course, the most likely to receive other job opportunities in other organizations. Therefore, those managers left to manage decline are often the more conservative, play-it-safe types. (Cameron 1983:363-6).

Sixth, innovation itself was perceived as a cause of decline. During periods of growth risk-taking and experimentations with new programs was considered appropriate, but during less stringent times the tendency is toward eliminating non-traditional and innovative programs and to avoid instituting more innovative or creative alternatives.

Thus, institutions respond by becoming more conservative (Cameron 1983:365).

Use of strategic planning techniques can help libraries react in positive ways in periods of decline. Cameron (1983:368) has suggested that successful business firms have reacted almost the exact opposite to what most postsecondary education has done when faced with conditions of decline. Colleges and universities are often conservative, efficiency-oriented and internally focused. Conversely, successful business firms have been innovative, effectiveness-oriented, and externally focused. Drucker (1980:61) has noted that:

. . .every institution needs to think through what its strengths are. Are they the right strengths for its specific business? Are they adequate? Are they employed where they will produce results, and what specifically is the market for this particular business both at the present time and in the years immediately ahead?

De Gennaro (1981:3) sums up the situation when he stated:

Our task is to develop a strategy for maintaining the library's viability in an information society, not just a strategy for further reducing the current inadequate level of library expenditures.

#### Major Issues and Research Questions

Prior to 1985, the Information Services Division of the HBLL had no strategic plan to deal with the turbulent times ahead. The library faced spiralling library materials costs, space limitations, deteriorating collections, understaffing and slow and inadequate document delivery. The plans previously produced in the past had yielded

little or no change in organizational behavior. When change had occurred, it had been primarily reactive rather than proactive.

To meet this challenge, the Information Services Division of the HBLL needed to utilize successful business practices such as strategic planning. Through the use of information provided in strategic planning activities the library could be helped in recognizing environmental threats (Leerburger 1984:155). Analyzing the library's weaknesses, opportunities, threats, and strengths could help it meet the challenges of the future better (Scigliano 1981:17). Strategic planning attempts to go beyond the familiar planning efforts to redefine and focus on the basic nature of the institution. It is a deliberate attempt to concentrate resources in those areas which can make a substantial difference in future performance and capabilities. Strategic planning is more a frame of reference and way of thinking than a set of procedures (Radford 1980:9).

According to the SPEC Flyer #108 (1984:1):

The most important aspects of this approach are judgmental in character: (1) selecting the appropriate areas to emphasize, (2) determining the shrewdest course of action, and (3) stimulating the changes required.

The managers of the Information Services Division of the HBLL should gain needed skills in how decisions are made as well as what issues are addressed (Horner 1979:15). This



emphasis on process is one of the major features of this type of planning (McClure 1982:163 and Palmour 1980:3).

A rigorous analysis of the organization is important. Horner (1979:15) suggested a formula that has proven useful in dealing with nonprofit organizations:

The Strategic planning process typically begins with a statement of the basic mission of the institution. This is necessary to identify which parts of the environment are relevant to focus for subsequent analyses.

Library division managers have had to develop an understanding of these concepts of strategic planning (Riggs 1984:8). This knowledge allowed them to use a rational approach to planning that matched what is educationally desirable with what is realistically attainable (Horner 1979:20).

Before a strategic plan was developed for the Information Services Division, the following questions were answered:

1. What is the basic mission of the library?
2. What are the relevant environmental factors?
3. What are the weaknesses, opportunities, threats, and strengths of the organization?
4. What are the appropriate strategies for the organization?
5. What is the appropriate schedule for implementation of the plan?

The intent of this study was to develop a strategic plan and provide a model for library public service units. To answer the broad question regarding the success of the model would require studies of UCLC libraries that chose to adopt this



pattern of planning. The importance of strategic planning techniques learned by library managers in the planning group provided valuable skills for future planning activities. Data collected during the planning sessions provided information that became critical in the final draft of the strategic plan for the division.

#### Definition of Terms

**Acquisitions:** The administrative unit of the library that carries out activities related to obtaining library materials by purchase, exchange, or gift, including preorder bibliographic searching, ordering and receiving materials, processing invoices and the maintaining necessary records.

**Administrative Council:** The people who administrate the various divisional areas of the library. The central legislative body for the library.

**Conditions of Decline:** A period of time in which economic indicators such as inflation and price increases are affecting libraries negatively.

**Evaluation Instrument:** An device for participants of the Information Services Division of the HBLL to systematically assess the effectiveness of strategic planning activities.

**Goal:** Broad general statement that reflect results necessary to accomplish the mission.

**Library Collection:** The total accumulation of materials provided by a library for its users. Synonymous with library holdings and library resources.

**Mission Statement:** A statement that reveals the long term raison d'etre of the library.

**Objective:** A statement that is more specific in nature than a "goal" and includes a time frame. They are usually measurable.

**Operating Strategies:** Statements that specify a particular departmental activity or task to be accomplished in support of an objective.

**Opinionnaire:** A written instrument to solicit perceptions of the potential usefulness of strategic planning in UCLC libraries.

**Periodical:** A serial appearing indefinitely at regular or stated intervals, generally more frequently than annually, each issue of which is numbered or dated consecutively and normally containing separate articles, stories, or other writings.

**Planners:** Those individuals identified as participants in the planning process. Same as "planning group."

**Planning Group:** The people identified as participants in the planning process. Same as "planners."

**Program or Program Area:** The part of the library for which each participant or planner has specific work responsibility.

**Serial:** A publication in any medium issued in successive parts bearing numerical or chronological designations and intended to be continued indefinitely.

**Strategic Planning:** A method of defining goals and objectives for an organization and the design of the functional policies, plans, and organizational structure and systems to achieve those objectives.

**Strategic Planning Model:** An outline designed to assist participants in the planning process and including all the necessary steps.

**Utah College Library Council:** A consortium of Utah academic libraries organized to foster the development and implementation of cooperative library programs among Utah's colleges and universities.

**Workshop Plan:** The systematic outline of activities used in the development of the strategic plan.

**WOTS-UP:** An acronym for George Stiener's data collection activity. The initials stand for: W = weaknesses, O = opportunities, T = threats, S = strength, U = underlying, P = planning.

Limitations of the Study

1. The strategic plan developed by the managers of the Information Services Division of the HBLL applied only to that division.
2. The strategic planning model developed by the Information Services Division was limited to public services divisions for UCLC libraries.
3. The opinionnaires were designed for use with the specific population of the UCLC libraries.
4. Unfamiliarity with strategic planning terminology could have biased interviewee responses.
5. A desire to please their supervisor who was administering the document could have biased the responses.
6. Competing division activities could have prevented participants from allotting sufficient time to the development of a strategic plan.

### Assumptions

It was assumed that the several specially designed instruments in this study would extract the information sought in this investigation. It was further assumed that the pre-tests would produce the internal consistency for the data needed. Additional assumptions made were:

1. Based on a literature search no other appropriate strategic planning models were located that could be used for academic library public services divisions.
2. The leadership of the Information Services Division was willing to become involved in strategic planning activities.
3. The techniques used to gather data produced an accurate and useful strategic planning document.
4. The opinionnaire was a reliable method for collecting data on UCLC librarians' perceptions of the usefulness of strategic planning.
5. The UCLC participants would give honest opinions when providing answers on the opinionnaires.
6. The leadership of the Information Services Division of the HBLL benefited from the implementation of strategic plans and from the skills developed in the process.
7. The leadership of the Information Services Division was the appropriate body to develop a strategic plan since such input was likely to be critical in the development of useful strategies. (Healey 1982:225; and Radford 1980:11).

8. Participants in the planning process would have knowledge of conventional planning activities.
9. Managers of the Information Services Division would use the planning techniques learned during planning activities to plan in other program areas not specifically covered in the strategic plan.

## CHAPTER 2

### REVIEW OF RELATED LITERATURE

In 1985, postsecondary education faced many conflicting demands on its resources. Diminishing financial means and general public dissatisfaction over higher education had reached an apex. According to John E. Canady (1982:132) "The 1980's will be a period in which the public education will adapt or perish." Not only had diminished resources and public dissatisfaction reached epidemic proportions, but other environmental factors were affecting higher education as well. Inflation, higher energy costs, and major demographic shifts all affected administrators who were not used to dealing with decline. Mayhew warned (1979:113):

As institutions move into the 1980's, ... improved management will require not only more elaborate precise information systems and better ways to arrive at prudent and effective decisions, but also long-range and short-range planning.

#### Historical Perspective

Historically, higher education has frequently followed business planning models like higher education (Moran 1985:288). Since 1900, the challenges confronting businesses have become more numerous and complex, the environment has enlarged and the rate of change has accelerated (Ansoff 1977:1). To cope with change according to Ansoff (1977:1),



and Business Week (Nov. 5, 1984:76), "leading firms have invented planning systems and other firms have followed by adopting these inventions." Each generation of new planning systems was in direct response to immediate and pressing problems of the business community. Ansoff (1977:2) also noted that:

1. Systems development has followed a coherent logic dictated by the growing complexity of the problems which needed solving.
2. The succeeding systems usually were not replacements, but were enlargements and enrichments of the preceding efforts.

Figure 7 shows the evolution of a planning system as developed by Ansoff (1977:7). This diagram helps to explain the historical development of early planning systems and their relationship to more contemporary planning.

One such "system" of planning was called strategic planning. First applied to the military, the word "strategy" taken from the Greek strategos literally meant "the art of the general" (Elia 1981:10). The meaning has evolved, continues Elia (1981:10-11) to refer to the forging of organizational goals, setting objectives in light of external and internal forces, and formulating action plans to achieve objectives and assuring their proper implementation so that the basic purposes and objectives of the organization will be achieved for all major concerns of top management.



The concept of strategic planning as applied to business was developed at the Harvard Business School in the late

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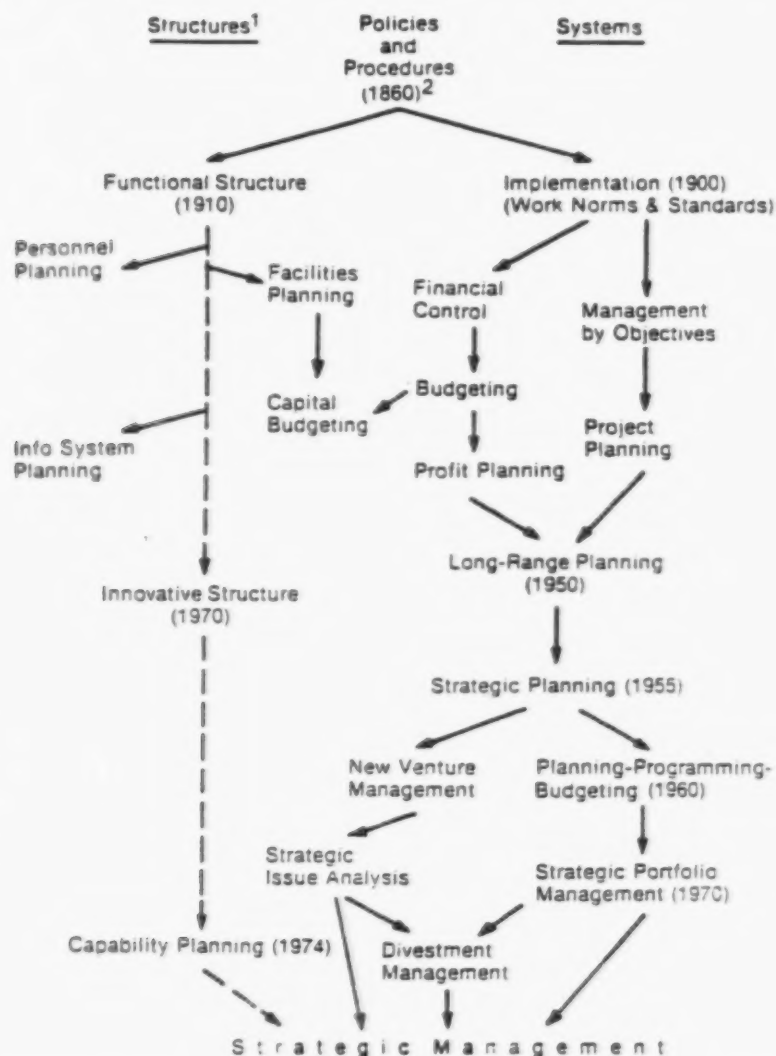


Figure 7

### Evolution of Planning Systems

From: Ansoff, H. Igor "The State of Practice in Planning Systems." Sloan Management Review 18:7 Winter 1977.

1950's. The hope was that the major decisions required to match organizational resources with environmental opportunities would be addressed. As noted earlier by Ansoff (1977:1) strategic planning processes as well as other planning systems, have been developed in response to the needs of complex goal-seeking organizations.

But, strategic planning has more recently (1980) found its way into non-profit organizations (Ensign and Adler 1985:175). Marvin Peterson's article (Jedamus 1980:142) in Improving Academic Management: A Handbook of Planning and Institutional Research, he speaks of this type of planning as a way

to foster institutional adaptation by assuring congruence between an institution and its relevant and often changing environment, by developing a viable design for the future of the institution, by modifying it as needed, and by devising strategies that facilitate its accomplishment.

Kemper (1970:6) has observed that libraries have not used strategic planning:

Disciplines other than librarianship have made greater progress in the study of administrative practice and theory, in general, and strategic planning, in particular, because, until recently, even the largest libraries were small operations. Other reasons often cited in the literature are that library operations cannot be measured as readily as business operations for libraries do not use profit as a yardstick: libraries lack the money and manpower to spend in analysis and study of themselves; and libraries have few practicing managers and faculty members within the university environment who are interested in a theoretical exploration of administration.

Riggs (1984:IX) agreed when he noted that the "practice of strategic planning in libraries is regrettably slow in being adopted." Riggs (1984:IX) further states that:

Until now (1984), there have been no books devoted exclusively to strategic planning in libraries and fewer than five journal articles written on strategic planning as it pertains to library management.

### Characteristics of Strategic Planning

To understand the theoretical and practical application of strategic planning to libraries, business and management literature must be consulted. Not all authors agree on the exact nature of this type of planning. Earlier writers such as Anthony (1965:24) and Kemper (1970:34) asserted that strategic planning "is a process having to do with the formulation of long-range plans." More recently (1979) writers on this subject have disagreed. Tregoe and Zimmerman (1979:10-14), for example, contended that "long-range planning impedes strategic planning." These authors listed seven reasons for their assertions:

1. Long-range planning invariably predicts the organization's future by extrapolating from the present.
2. Theoreticians who urge the establishment of long-range objectives as a starting point for long-range planning fail to recognize this fact: Most managers do not set objectives that define their future because they lack a process to assist them.

3. Since long-range planning consists of a series of projections about the future, the future picture of the organization can only be a composite of these projections.
4. Long-range plans invariably tend to be overly optimistic.
5. Long-range planning usually begins with assumptions about the environment--the economy, technological change, sociopolitical events, and so on--and the organization's strengths and weaknesses.
6. Long-range plans tend to be inflexible (even though they are usually presented in three-ring binders as evidence of their "flexibility").

Other contemporary authors, e.g. Nash (1983:20), Radford (1980:6) and Whittaker (1978:4) tended to support this short-range characteristic of strategic planning. Peterson (Jedamus 1980:141) further describes strategic planning as being characterized by four broad elements:

1. Environmental assessment or scanning (to identify trends or potential changes in the environment and their implications for the institution).
2. Institutional assessment (to clarify strengths, weaknesses, problems, and capabilities of the institution).
3. Values assessment (to consider values, aspirations, and ideals of various constituencies and responsibilities of the institution to them and the larger public).
4. Master plan creation (to devise a strategic pattern,

design, or direction for the institution on the basis of the first three elements).

While there continues to be disagreement regarding the characteristics of strategic planning, many writers agree on the following major elements as outlined by Baldrige and Okimi (1982:17). Strategic planning is concerned with

1. An organization's destiny and market.
2. Top level officers doing the planning.
3. Medium- to short-range time frame.
4. Environmental issues both internal and external.
5. The process of planning as an open system (Marchant n.d. 1).
6. Both quantitative and qualitative data.
7. The process being more important than the plan.

Baldrige and Okimi (1982:16) have pointed out that "the central focus of strategic planning is developing a good fit between the organization's activities and the demands of the surrounding environments."

#### Planning Models

As noted above, strategic planning first involved the military, then the business community and finally higher education or non-profit organizations. As this type of planning was applied to each sector, models (Ball and Lorange 1979, Naylor 1981-82) were developed in an attempt to explain graphically how the planning process worked.

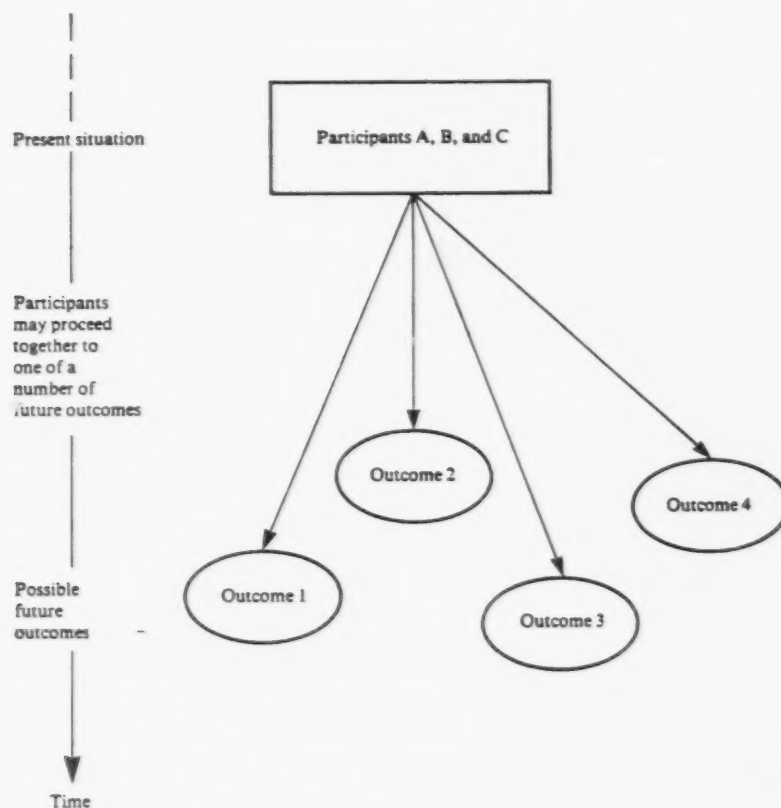
Business applications as displayed by Radford (1980:49), figure 8, University Associates (1978:1-2) shows simplified

models of situations in which participants are depicted as engaging in the process of strategic planning. Variations of the models like the one shown in figure 9 are common in business. Pekar (1981:82:44-45), however, sees the non-profit sector as unique and completely opposite of both government and industry. In "Setting Goals in the Non-Profit Environment" Pekar (1981-82:43-46) outlined these differences. Figure 9 shows how each of the three sectors--business, non-profit and government--differ in emphasis.

Numerous planning models have been developed for higher education: Horner (1979:15) in an article entitled "Strategic Planning for Higher Education" stressed that the emphasis on strategic planning should be as concerned with the process as the product. The process, he noted, "implies a rigorous, comprehensive and systematic approach." Horner (179:16) represented this approach to planning by a model displayed in figure 10.

Elia (1981) developed another model for higher education, showing a detailed planning process at an unidentified independent university referred to as University X. In Figure 11, the activities of planning flow through eighteen detailed steps. The numbers on figure 11 represent the specific activities carried out by University X from April 1977 through March 1978. See appendix A for details of these activities.





Initial Preferences of Participants

|                          | A | B | C |
|--------------------------|---|---|---|
| Outcomes most preferred  | 1 | 3 | 2 |
|                          | 2 | 2 | 1 |
|                          | 3 | 1 | 4 |
| Outcomes least preferred | 4 | 4 | 3 |

Figure 8

Radford's Model of a Strategic  
Decision Situation

From: Radford, K. J. Strategic Planning An Analytical Approach. Reston, Virginia: Reston Publishing Co., Inc. 1980.



| <u>Business</u>                           | <u>Non-Profit</u>       | <u>Government</u>    |
|-------------------------------------------|-------------------------|----------------------|
| Market Dynamics                           | Goal Setting            | Political Climate    |
| Economical Cost<br>Setting<br>Environment | Strategies              | Discreet Goal        |
| Competitive<br>Position                   | Action Plans            | Media Approval       |
| Product Life<br>Approval<br>Cycle         | Public/Media<br>Support | Congressional        |
| Financial<br>Strength                     | Economic<br>Environment | Public, bureaucratic |
| Multi-goal Setting                        | Public Industry         | Industry support     |
| Strategies                                | Government monies       | Allocated tax monies |
| Action Plans                              | Project staffing        | Strategies           |
|                                           | Volunteer Services      | Action Plans         |

Figure 9

## Pekar's Planning Continuum

From: Pekar, Peter P. Jr. "Setting Goals in the Non-Profit Environment." Managerial Planning, 30:44. March/April, 1981-82.

Planning models for libraries are a more recent development (1979) (Wasserman and Ford 1980:19). Webster (1971) identified seven elements of planning for libraries (figure 12).

In an article dealing with library reference departments, Bunge (1984:307) outlines the hierarchy of mission, goals, objectives and activities (figure 13). In both the Webster

and Bunge models specific mention of strategic planning is missing.

Examples of strategic planning models specifically for libraries are few. One such model was displayed, however, in A Planning Process for Public Libraries by Palmour, Bellassai and DeWath (1980) called "Information Requirements for the Planning Process." This model (figure 15) attempted to show the types and sources of data associated with each of the planning steps (Palmour, et al 1980:11).

Wood (1983) also attempted to apply strategic planning to libraries with her adaptation of Kotler's business model (see figure 14). Kemper (1970) applied strategic planning concepts to four types of libraries--school, university, state and public. The models produced from this study seem cumbersome and overly complex.

The most useful model yet devised for library application was published by the Medical Library Association. Its author Robert Braude (1983:43) borrowing from Kaser has developed the model shown in figure 16. Much more adapted to library purposes, this model is a practical application of strategic planning principles to libraries.

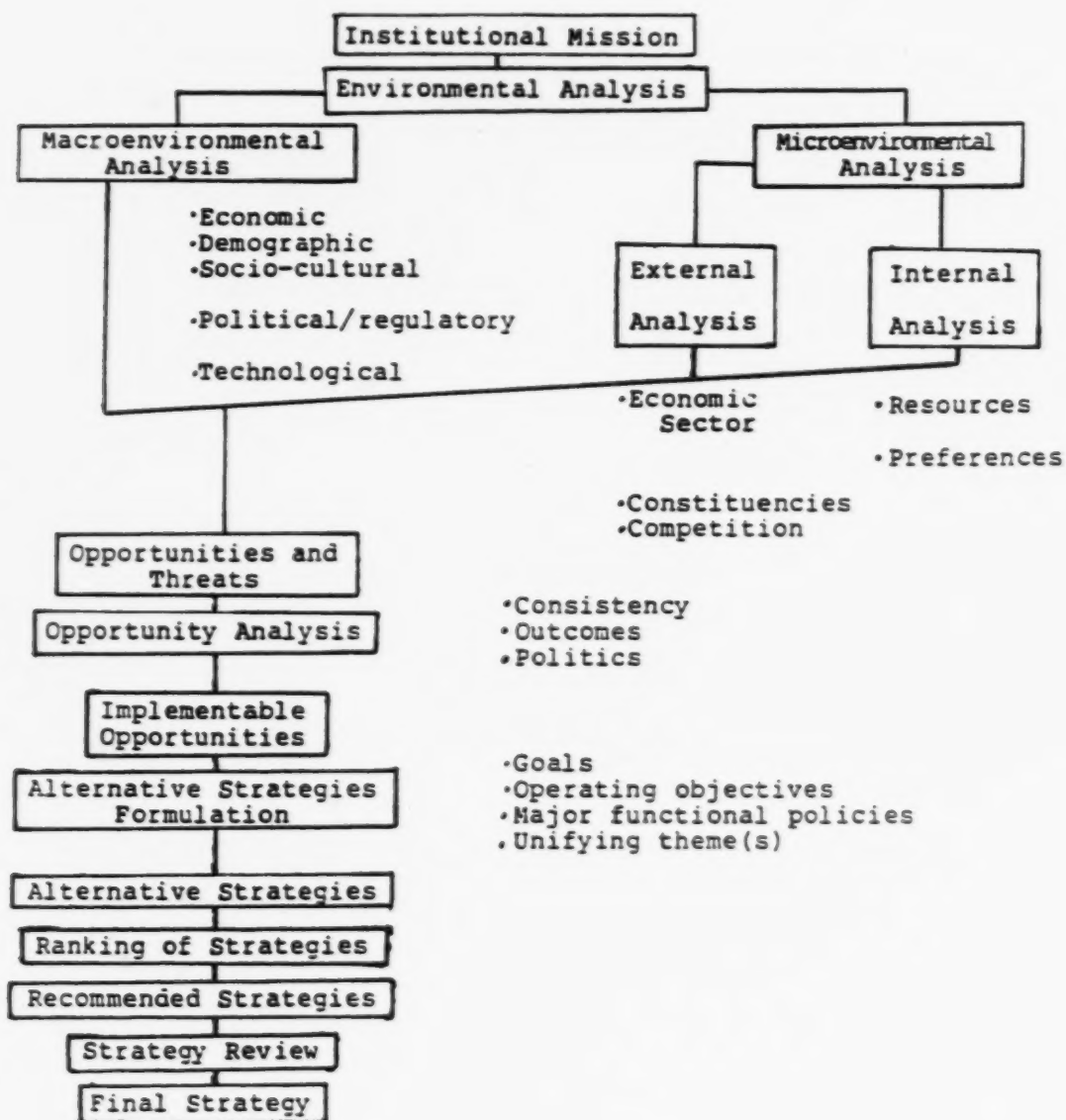


Figure 10

## Horner's Planning Process

From: Horner, David G. "Strategic Planning for Higher Education." Management Focus, 26:16. March/April, 1979.

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April-July '77    Aug-Sept '77    Oct-Dec '77    Jan-Mar '77

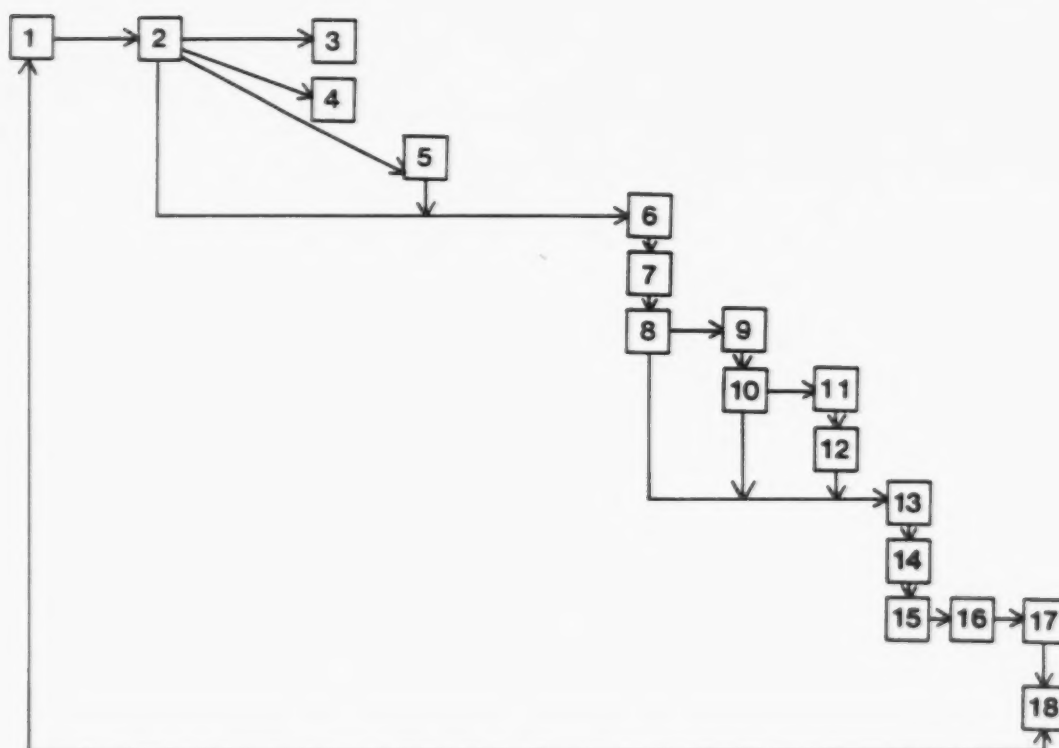


Figure 11

Elia's Flow Chart of Strategic Planning  
Process at University X

From: Elia, Irene J. "Strategic Planning in an Independent Institution of Higher Education." Diss. State University of New York at Buffalo, 1981.

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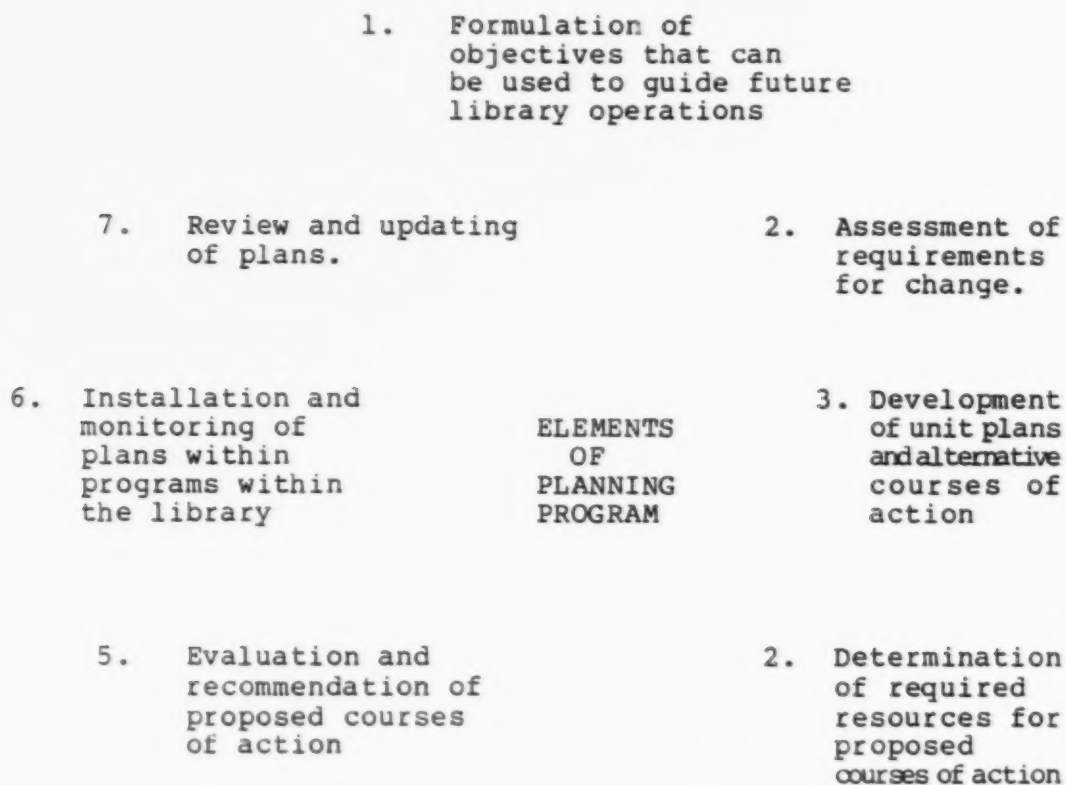


Figure 12

Webster Planning Model

from: Webster, Duane. Planning Aids for the University Library Director. Occasional Papers No. 1., Washington, D. C.: University Library Management Studies Office, Association of Research Libraries, December, 1971.

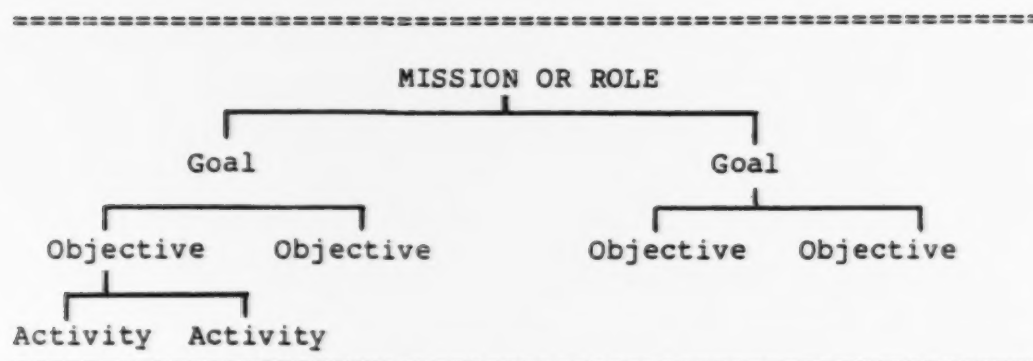


Figure 13

## Bunge's Goals and Objectives Chain

From: Bunge, Charles A. "Planning, Goals and Objectives for the Reference Department." R.Q. 23:307. Spring, 1984.

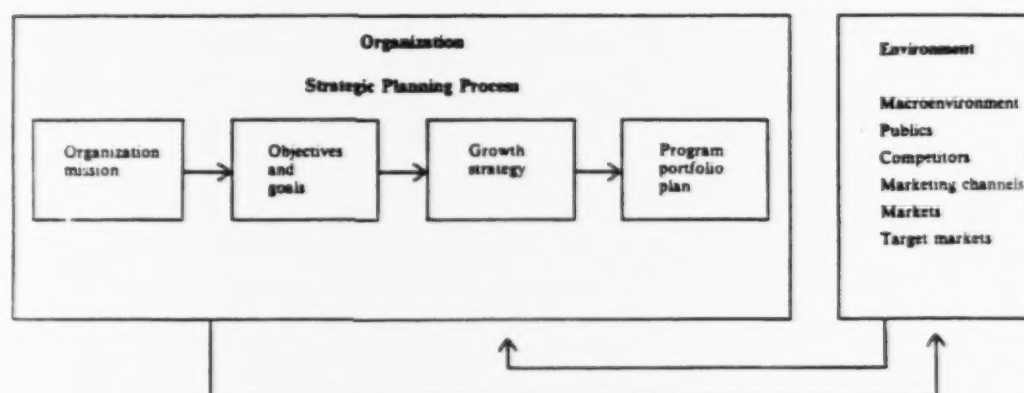


Figure 14

Wood's Adaptation of Kotler's  
Planning Process to Libraries

From: Wood, Elizabeth J. "Strategic Planning and the Marketing Process: Library Applications." The Journal of Academic Librarianship, 9:16. March, 1983.



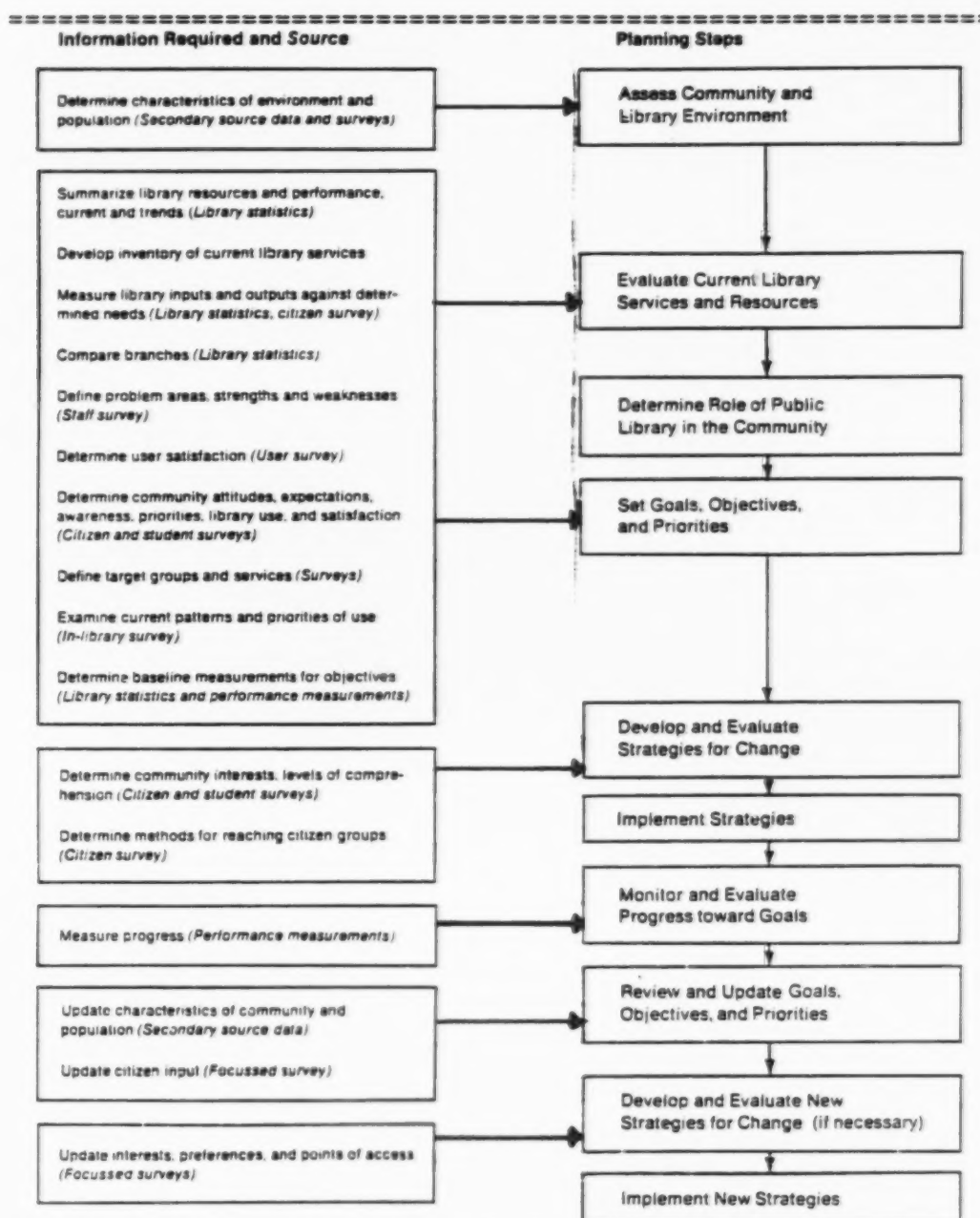


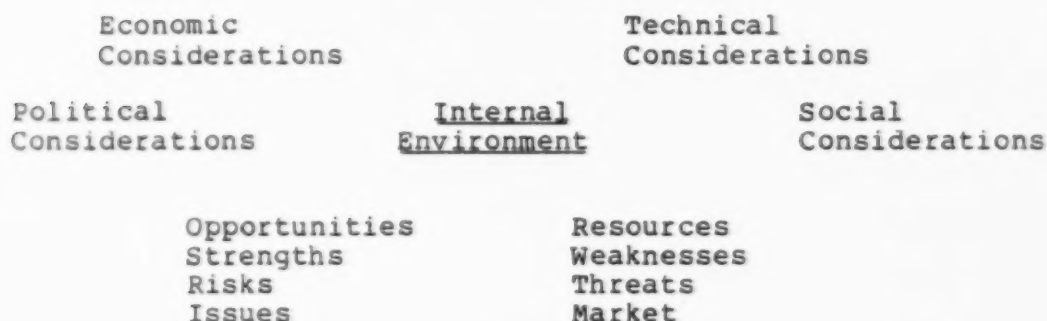
Figure 15

### Palmour's Information Requirements for the Planning Process

From: Palmour, Vernon E., Marcia C. Bellassai and Nancy V. DeWath. A Planning Process for Public Libraries. Chicago: American Library Association, 1980.

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THE ENVIRONMENT



MISSION

Broad statement  
of purpose justifying  
the library's  
existence.

GOALS

Qualitative statements  
which collectively  
describe the conditions  
existing when the library  
is fulfilling its mission.

OBJECTIVES

Specific results or ends, which are essential  
to fulfillment of the library's goals.

ACTION PLANS

Specific activities, for which the responsibilities and  
resources can be assigned and a mutually agreed upon target  
date can be established. The sum of these activities equals  
the results necessary for attainment of specific objectives.

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Figure 16

Braude's Planning Process Overview

From: Braude, Robert M. C.E. 258 Planning: Strategic and  
Tactical. Omaha, Nebraska: 1983.

### Summary

Strategic planning, originally associated exclusively with the military, began to be applied to business during the 1950's. During the 1970's as institutions of higher education began to suffer economically, strategic planning techniques began to be used by educational administrators. Libraries, a part of higher education, have utilized these concepts very little as the literature attests. Few models exist that can be applied to academic libraries. This lack, however, has stimulated this attempt to create a much needed model of strategic planning techniques for public service units of academic libraries. Such a model could be practically applied by most middle and top level managers not only for HBLL but for other academic libraries in this geographic region. If, as Naisbitt (1982:15) asserts, "in our new society ... the strategic resource is information," only by using strategic planning can libraries resolve the serious problems they face in the years ahead.

## CHAPTER 3

### PROCEDURES AND METHODOLOGY

The primary purpose of this study was to develop a strategic plan for the Information Services Division of the Harold B. Lee Library at Brigham Young University. A secondary purpose of the study was to produce a model for strategic planning for public service units of academic libraries in Utah.

The descriptive mode of research was the technique used to provide the information needed to develop a strategic plan for the Information Services Division. The overall method used in this study involved: (1) a literature search of studies concerned with strategic planning in higher education especially those dealing with libraries, (2) an assessment of the planning needs of the Information Services Division, (3) the construction and validation of data collection instruments, (4) the distribution of the survey instruments, (5) the recording and treatment of the data gathered from the surveys and the results of the workshop activities (see Appendix for workshop activities and log), (6) the summarizing of the findings, (7) the development of a strategic plan and model, and (8) the evaluation of the planning process.

#### Review of Related Literature

A review of the literature (Schachter and Thomison, 1982) on strategic planning revealed that while business

applications of strategic planning were numerous, few studies had actually been conducted on strategic planning in libraries. No studies were located that specifically applied strategic planning techniques to public service units of academic libraries possibly because, as Lorange and Vancil (1976:75) noted, "An effective planning system requires 'situational design.'".

#### Needs Assessment

A strategic planning needs assessment opinionnaire was completed during Winter semester, 1985. This instrument was sent to the fifteen academic libraries in the state of Utah who are members of UCLC. This opinionnaire (see Appendix C) was constructed with seventeen statements designed to determine interest in and potential usefulness of strategic planning models for their libraries. A five-point scale was used, ranging from strongly agree to strongly disagree. The instrument was pre-tested on seventeen librarians working in the HBLL who would not be involved in providing data for the instrument. The survey was designed with assistance from the Director of the School of Library and Information Science at Brigham Young University. There were thirteen usable responses out of a possible fifteen. The data were tabulated with frequencies and percentages presented in Table 2.

Managers of the Information Services Division were also surveyed to determine their interest in the potential value of strategic planning techniques to the division

operation. These potential participants agreed that since traditional planning techniques had not met their needs strategic planning would be an acceptable alternative in the future (Minutes 1984:1). This opinion was expressed in group sessions as well as in regular one-on-one meetings with the Assistant University Librarian.

#### Internal and External Validation of the Study

After having established a need for strategic planning in the division of Information Services and after having determined that a model of the process was needed for UCLC libraries, internal and external validation for the study was obtained. Meetings were held with the University Librarian, the Chairperson of the UCLC Public Services committee, and librarians in the Information Services Division to substantiate the need to develop a strategic plan for the division and establish a planning model for UCLC libraries (see Appendices D and F).

External validation was obtained from four sources. A meeting was held with N. Dale Wright, Director, Institute of Public Management and Health Administration at Brigham Young University, Provo, Utah, to discuss the potential usefulness of applying strategic planning techniques to a library. Wright suggested a meeting with Virginia Wright, who was currently employed as the Director of Planning for the Cottonwood Hospital Medical Center, Murray, Utah. Following a telephone conversation with V. Wright, a letter



was received encouraging the study (see Appendix G) and listing some possible sources of information. Contact was also made with Donald E. Riggs, University Librarian at Arizona State University and author of Strategic Planning for Library Managers. He also encouraged the study and sent additional bibliographic sources on the subject of strategic planning for review (see Appendix H). Encouragement and permission to use sections of his training manual C.E. 258 Planning: Strategic and Tactical was given by Robert M. Braude, Director of McGoogan Library of Medicine, University of Nebraska Medical Center. Nathan Smith, Director of the Graduate School of Library and Information Science at BYU also gave his support for the research effort.

Before data collection began, a pre-assessment document, based on information developed by Baldrige and Okimi (1982:17), was administered to the planning group to determine their knowledge of strategic planning concepts (see Appendix R). This instrument encompassed eight planning areas. Respondents were asked to identify each of three statements as characteristic of Strategic Planning (SP), Conventional Planning (CP), or Neither (N). The document was pre-tested on faculty members other than those who were involved in the planning group.

#### Data Collection for Strategic Planning

To begin gathering data for the development of a strategic plan, participants were asked to review the current mission statement of the Lee Library (see Appendix I). In doing so,



they were to identify areas of that document that specifically dealt with the Information Services Division (Donnelly 1981-82:3). The planning group was then asked to identify (through brainstorming) as many new potential mission statements as possible (Edinger 1980:332). A list of twenty-four potential statements were then grouped into eight cluster statements (see figure 22). During individual meetings with the planners they were asked to rank order these clusters (see figure 22). Based on these results a tentative mission statement was agreed upon.

The next data gathering activity centered around defining "environmental factors." Braude (1983:27) defines these "factors" as "those forces over which an organization has little or no control." His environmental analysis questions (see Appendix J) were used to collect the data. Participants again were asked to brainstorm for ideas on each of the six external and internal environmental factors--users, service demands, technology, competition, economics and politics. Following this activity, all factors listed were reviewed by each participant individually. Additions to the list were made and a complete list is presented in Appendix K. With assistance from a member of the planning group, these raw data were summarized (see Appendix L).

Participants were next asked to identify current library programs in their specific work areas. Braude's (1983:27) workbook (see Appendix M) was again utilized. These data

were then tabulated with values 1-5 assigned to each item (Table 3), with the value of 1 being the most important and 5 the least important. Totals for the number times an item was mentioned and is displayed in Table 4.

Another phase of the data collection was the WOTS-UP activity as outlined by Stiener (1979:16). Weaknesses, opportunities, threats, and strengths were identified as major categories. The planning group again was asked to list as many items as possible in each category--keeping in mind previous environmental factors. The list produced, however, did not add materially to data previously collected (See Appendix X).

In the next step of the planning process participants were asked to once again evaluate the mission of the division and suggest revision of the tentative mission statement developed earlier. This evolutionary process followed the model illustrated in Appendix W. A revised mission statement (see Appendix O) was developed and approved by the planners and the University Librarian.

Using Braude's workbook (1979:34) as a guide, a definition sheet (see Appendix P) was prepared for participants, who were then requested to identify goals and objectives that would support one of the two parts of the mission statement. In the workshop setting each planner shared his/her goals and objectives with the others in the group (Gallanger 1982-83: 27 and Oldham 1977:464). A handout was also

prepared for each participant that summarized the environmental factors (see Appendix L) and that asked the participants to be realistic as they were developing a plan (Braude 1983:27).

Riggs (1984:47) speaks of "operating strategies" as those "strategies" that "deal with the more specific departmental activities of the library." In this light, the planners were asked to attach specific "operations strategies" to their objectives. This was done in sequence so that additional input from colleagues in the department could be sought. An outline was developed for this purpose using ideas from Braude (179:38) and Riggs (1984:47-48). See Appendix Q for a copy of the handout.

The "plans" were then collected by the researcher and reviewed for obvious errors. Participants then reviewed this document making appropriate changes.

The post-test (see Appendix R) was administered (see Figure 23 for results). The planners also completed an evaluation instrument (See Appendix V) to determine whether the process used in gathering data was in fact characteristic of strategic planning.

#### Recording and Treatment of Data

The data collected were subjected to basic descriptive statistical techniques in which frequency distribution and percentages were tabulated. Best (1979:199) recommended that both frequencies and percentages be presented if the

number in each group is small. When UCLC Library directors were surveyed, the number and percentage of responses were tabulated and are presented in Table 2. The "Strategic Planning Process Evaluation Form" followed the same process. The pre-test instrument was used to find which strategic planning concepts were not well understood. The post-test assessment instrument determined whether any understanding had been gained on strategic planning terminology, techniques, etc. by the participants. Items missed 40% of the time or more were considered to need further instruction. Results of the pre/post test were calculated and are presented in figures 20, 21, and 23. The IBM personal computer utilizing Lotus 1-2-3 software was used to prepare the figures.

#### Evaluation of the Strategic Planning Process

A flow chart of the process involved in developing a strategic plan called "Model of the Planning Processes for the Development of a Strategic Plan for a Public Services Unit of a Library" is presented in Appendix S. An evaluation instrument, "Evaluation of the Strategic Planning Model for the Information Services Division of the Lee Library" (see Appendix V), developed by Bernice Lowry, Ed.D., (1984:142) was used to evaluate the strategic planning process. A copy of the model and evaluation were mailed to Robert M. Braude, Director of McGoogan Library of Medicine, University of Nebraska Medical Center; Donald Riggs, Ed.D., University Librarian at Arizona State University; Karen Butter, Chairperson

of UCLC Public Services and Virginia Wright, Director of Planning at Cottonwood Hospital Medical Center. Results of their evaluation are found in Appendix V. To test the reliability of the evaluation instrument fifteen non-participants completed the "Strategic Planning Process Evaluation Form." Following this activity validity was determined by using a statistics authority, Nathan Smith of the Graduate Department of Library and Information Sciences, BYU. Reliability and validity having been established, members of the planning group completed this opinionnaire.

#### Summary

In the needs assessment, potential participants and library administrators agreed that the Information Services Division of the Lee Library was in need of a strategic plan. Consultants also encouraged this planning process. Over a three and one half month period, data were gathered from the planning group. These data were used to develop a strategic plan for the division.

Evaluation of the "process" was accomplished by the use of a document that tested whether or not the activities were typical of strategic planning. Four experts in strategic planning responded. The results of the surveys from the eleven members of the planning group demonstrated that they gained a greater understanding of strategic planning concepts, that the process the planners engaged in was

strategic planning, and that strategic planning activities had occurred.



## CHAPTER 4

### PRESENTATION OF RESULTS

The main purpose of this study was to develop a strategic plan for the Information Services Division of the Harold B. Lee Library. A secondary purpose was to model a planning system that could be adapted by other academic libraries who are members of UCLC. To develop the plan, data were collected during the Winter and Spring semesters, 1985, from the department chairs of the Information Services Division. Data were also collected from UCLC member library directors to determine interest in the potential usefulness of strategic planning as models for their libraries. The results of these activities are presented below.

#### Needs Assessment

The subject of a recent SPEC Flyer #108 (1984:1-2) from the Association of Research Libraries, strategic planning has been identified as an important priority for research libraries. Impetus for this study was also gained from a statement from the library's mission statement (1981:1) "the library will establish an administrative structure that will assure maximum effectiveness in innovative planning and decision making." Support for this planning activity also

came from Karen Butter, chairperson, Public Services Committee, UCLC (see Appendix E), Sterling Albrecht, University Librarian, BYU (see Appendix D) and Donald Riggs, University Librarian, Arizona State University (see Appendix H). Further, an informal needs assessment survey distributed among Information Services personnel demonstrated that the potential participants in the planning process appeared anxious to try new types of planning activities (Minutes:1984:1 see Appendix F).

The responses to the needs assessment instrument for UCLC administrators are included in Appendix C. Table 2 shows the questions grouped into four categories: usefulness of planning, planning knowledge, benefits of strategic planning and control statements.

The results from this needs assessment instrument (Figure 17) show that overall 92% of the UCLC library administrators strongly agree or agree that planning generally is a useful activity for libraries. The first statement that "group planning is a vital part of good library operation" scored almost 100%.

Responses from the UCLC administrators to the "planning knowledge" group of statements were more mixed. Three statements from the survey in this group scored at about the same level: "Most library managers did not learn strategic planning skills in graduate school, therefore, needed additional help in this area," "even when planning has occurred in the

library, decisions are made which do not utilize the plan," and "daily decisions are made in the library without benefit of library planning." Their responses to these four questions (Figure 18) demonstrated little understanding of strategic techniques or terminology.

As shown in Figure 19 most UCLC administrators (87.69%) responded "strongly agree" or "agree" to the "Benefits of Strategic Planning."

### Development of a Strategic Plan

#### Pre-assessment Instrument

To develop a strategic plan for the Information Services Division, strategic planning as a concept was researched. A pre-assessment document (see Appendix R) was prepared from this research and administered to the eleven members of the planning group. One hundred percent of the planning group was present and participated in this activity. The respondents were asked to identify statements that were characteristic of strategic planning (SP) with other choices on each set of statements including: conventional planning (CP), Neither (N), Both (B) and Don't Know (DK). The number of incorrect responses were tabulated with 40% or more missed considered a valid reason for teaching the concept during subsequent planning activities. The complete results of the document is shown in Figure 20. As demonstrated by the graph in Figure 20, "Who Plans" and "Decision" were

the two areas needing greatest attention during subsequent planning sessions. Using this same instrument, the planning group's knowledge of strategic planning concepts was tested at the conclusion of the planning activities, with no one scoring below 80% on any item (Figure 21). Applying the same criteria as the first administration, strategic planning concepts were considered mastered. Figure 23 presents a comparison of both pre-test and post-test results.

### Mission Statement

The mission statement was developed through several revisions. First attempts by the planning group to identify potential mission statements resulted in the following eight clusters of statements:

- |         |                                                                                                                          |
|---------|--------------------------------------------------------------------------------------------------------------------------|
| Group 1 | Document delivery<br>Faculty book delivery<br>Quick access<br>Referral services<br>Cooperative networking                |
| Group 2 | Career opportunities<br>Professional contributions<br>Continuing education                                               |
| Group 3 | Effective use of resources<br>Acquisition and selection of materials<br>Cataloging of information<br>Technology advances |
| Group 4 | Provide scholarly study environment<br>Accessibility to information<br>Provide information                               |
| Group 5 | Administrative structure and responsibility<br>Accountability                                                            |
| Group 6 | Provide training in library use                                                                                          |

|         |                                                                                                         |
|---------|---------------------------------------------------------------------------------------------------------|
| Group 7 | Maintenance of collection<br>Collection security                                                        |
| Group 8 | Counseling<br>Communication and public relations<br>skills<br>Build rapport<br>Interpreting information |

Figure 22 shows how proposed mission statements were rated by members of the planning group. These statements were grouped into eight analogous categories in the first brainstorming session. As noted in Figure 23, groups 1 and 4 were rated highest with 2.8 and 2.0 respectively. The values of the groups were determined by averaging the number of ones received in each grouping. As can be seen in Appendix O the final mission statement was the result of several earlier revisions by the planning group and reads as follows:

The mission of the Information Services Division of the Lee Library is twofold: (1) to provide knowledgeable, efficient reference and information service to all patrons and (2) to provide appropriate formal and informal library use instruction to help patrons become self-sufficient in their use of the library.

#### Environmental Analysis

Results of the environmental analysis activity produced a variety of elements that in the opinion of the planning group did or could influence libraries. As reported in the procedures sections, data were produced by each participant listing as many "environmental" factors as possible under the following six categories: users, service demand,

technology, competition, economics and politics. These data were collected under individual categories (see Appendix K).

A summary of these data shows the following:

1. Twenty distinct user groups were identified. The main groups were university students, university faculty and staff, townspeople (especially genealogists) and LDS Church Authorities. Each of these groups requires unique responses from the library, i.e., students need to be taught library skills as well as supplied with information while university faculty and LDS Church Authorities are only provided with the information they seek.
2. Forty "service demands" were identified; however, one main theme emerged--the demand for information and reference service. Two subsets of this broad category were "rapid or quick access to information" and "reliable assistance."
3. Issues related to technology and the library were raised. Three received repeated emphasis:
  - a. The effects of technology on library operations, staff and patrons.
  - b. The funding of the new technology.
  - c. Using the new technology to improve access to information.
4. The competition to the library from the providers of information e.g. other libraries, private



individuals and information brokers generated sixteen responses.

5. The analysis of economics elicited concerns about the library's ability to compete with other areas of the university for sufficient funds to (a) make effective use of technology and (b) provide personnel required.
6. The political factors that would affect the ability of the library to accomplish its plan included:
  - a. A lack of understanding (by division personnel) of the informal and formal political structure of the library.
  - b. Support and cooperation of university faculty and departments to further library programs.
  - c. The perceived power of the Technical Services Division to control decisions related to the use of technology for public services.

#### Present Programs

Another important activity in strategic planning is "program analysis." The planning group identified existing library programs in their areas. Table 3 displays each item, and its average value. Table 4 shows the number of times each item was mentioned by the group. Of highest value and most often mentioned by the planners was "instruction

orientation and reference." Another item valued highly was "faculty consultation." See original data in Appendix N.

#### WOTS-UP Analysis

George Stiener's WOTS-UP Analysis was identified as the next planning activity. The initials in this acronym stand for:

W = Weaknesses  
O = Opportunities  
T = Threats  
S = Strengths  
U = Underlying  
P = Planning

Although the planning group listed 39 items through this activity, all had already been mentioned in the earlier steps of this planning process (see Appendix X).

#### The Plan

Using the results of an earlier mission statement, the environmental analysis, a look at current programs and a revised mission statement, each participant was asked to produce one or more strategic plans for his/her program area. The worksheet (Appendix Q) was followed and the form was completed for at least one objective in each planner's program area.

Each planning member related a specific objective in his/her program area to a concept in the finalized Mission Statement (See Appendix O). Documents containing examples of goals and objectives were utilized from Brown (1985), and Lee (1979) as models for starting this activity. The

final step in the process was to have each participant develop "strategies" for accomplishing the "objectives." The individual plans are located in Appendix Y.

#### Evaluation of the Process

To evaluate the planning process, a "Strategic Planning Evaluation Form" (See Appendix V) was used. The planning group was asked to respond to fourteen statements regarding their judgment of the planning process they had just been involved in. All eleven members of the group rated each statement as I strongly agree, I agree, I am undecided, I disagree, and I strongly disagree. It was hypothesized that questions one through nine and eleven and twelve would score high in the strongly agree and agree categories and that statements four and eight would score significantly lower than the other statements in that grouping. These data are presented in Figure 24.

Respondents should have rated statements ten, thirteen and fourteen disagree and strongly disagree categories because a negative response would have indicated their understanding of strategic planning concepts. Figure 24 shows all three statements above 70%. The planners understood that strategic planning was external, an art form and that the process of planning was more important than the plan.

External evaluation was conducted by surveying four outside experts. Using a model of the process (Table 5) and a copy of the "plan and log," (see Appendix B) the respondents

rated whether the activities were characteristic of strategic planning. The evaluation form and responses are included in Appendix V.

### Summary

In the needs assessment, librarians and UCLC administrators agreed that a strategic plan should be developed by the Information Services Division of the Harold B. Lee Library. Recent (1970-1985) library literature also supported the hypothesis that academic libraries could be benefited by this type of planning. Having established this need, systematic planning steps were followed which lead to data that could be utilized in the development of a strategic plan for the Information Services Division of the Lee Library. Evaluation of the process used and the model developed were evaluated by a panel of experts in strategic planning.

Table 2  
Opinionnaire on Planning  
UCLC Administrators  
N=13

| Area                                                                                                                                   | Strongly Agree |       | Agree |       | Undecided |       | Disagree |       | Strongly Disagree |       |
|----------------------------------------------------------------------------------------------------------------------------------------|----------------|-------|-------|-------|-----------|-------|----------|-------|-------------------|-------|
|                                                                                                                                        | No.            | %     | No.   | %     | No.       | %     | No.      | %     | No.               | %     |
| <b>USEFULNESS OF PLANNING</b>                                                                                                          |                |       |       |       |           |       |          |       |                   |       |
| Planning is a vital part of good library operations                                                                                    | 9              | 69.23 | 4     | 30.77 | 0         | 0     | 0        | 0     | 0                 | 0     |
| Knowing how to plan effectively is an important skills for library managers                                                            | 8              | 61.53 | 4     | 30.77 | 1         | 7.70  | 0        | 0     | 0                 | 0     |
| Library leaders are generally in need of strategic planning skills                                                                     | 3              | 23.07 | 8     | 61.54 | 2         | 15.39 | 0        | 0     | 0                 | 0     |
| <b>PLANNING KNOWLEDGE</b>                                                                                                              |                |       |       |       |           |       |          |       |                   |       |
| Planning documents are only useful when applied to daily operations                                                                    | 3              | 23.07 | 2     | 15.38 | 4         | 30.77 | 2        | 15.39 | 2                 | 15.39 |
| The primary focus on planning is the "process"                                                                                         | 1              | 7.70  | 3     | 23.07 | 0         | 0     | 7        | 53.84 | 2                 | 15.39 |
| Most library managers did not learn strategic planning skills in graduate school, therefore, need additional help in this area         | 4              | 30.77 | 8     | 61.53 | 1         | 7.70  | 0        | 0     | 0                 | 0     |
| Even when planning has occurred in the library, decisions are made which do not utilize the "plan"                                     | 0              | 0     | 13    | 100   | 0         | 0     | 0        | 0     | 0                 | 0     |
| Daily decisions are made in the library without benefit of library planning                                                            | 2              | 15.38 | 11    | 84.62 | 0         | 0     | 0        | 0     | 0                 | 0     |
| Generally speaking planning is done to appease administrators but has little or no practical value to actual operations of the library | 0              | 0     | 1     | 7.70  | 2         | 15.38 | 3        | 23.07 | 7                 | 53.85 |
| The primary focus on planning is the final document or "plan"                                                                          | 1              | 7.70  | 3     | 23.07 | 0         | 0     | 7        | 53.84 | 2                 | 15.39 |

Table 2 (Continued)  
Opinionnaire on Planning  
UCLC Administrators  
N=13

| Area                                                                                                                                                                                                         | Strongly Agree |       | Agree |       | Undecided |       | Disagree |       | Strongly Disagree |       |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------|-------|-------|-------|-----------|-------|----------|-------|-------------------|-------|
|                                                                                                                                                                                                              | No.            | %     | No.   | %     | No.       | %     | No.      | %     | No.               | %     |
| <b>BENEFITS OF STRATEGIC PLANNING</b>                                                                                                                                                                        |                |       |       |       |           |       |          |       |                   |       |
| Utah libraries could benefit by learning strategic planning techniques                                                                                                                                       | 6              | 46.15 | 7     | 53.85 | 0         | 0     | 0        | 0     | 0                 | 0     |
| Knowing how to use strategic planning is important for library managers                                                                                                                                      | 4              | 30.77 | 8     | 61.53 | 1         | 7.70  | 0        | 0     | 0                 | 0     |
| Our staff could benefit from knowing how to use strategic planning techniques                                                                                                                                | 3              | 23.07 | 8     | 61.53 | 1         | 7.70  | 1        | 7.70  | 0                 | 0     |
| Strategic planning skills should be taught as part of inservice training                                                                                                                                     | 2              | 15.40 | 8     | 61.53 | 3         | 23.07 | 0        | 0     | 0                 | 0     |
| A strategic planning model would be helpful for my library                                                                                                                                                   | 4              | 30.77 | 7     | 53.84 | 2         | 15.39 | 0        | 0     | 0                 | 0     |
| <b>CONTROL STATEMENTS</b>                                                                                                                                                                                    |                |       |       |       |           |       |          |       |                   |       |
| Planning has nothing to do with effective library operations                                                                                                                                                 | 0              | 0     | 1     | 7.70  | 1         | 7.70  | 3        | 23.07 | 8                 | 61.53 |
| Strategic planning is just another gimmick like Planning, Programming, and Budgeting System (PPMS), Management by Objectives (MBP), Program Evaluation Research Task (PERT), & Mgt. Information System (MIS) | 0              | 0     | 3     | 23.07 | 2         | 15.39 | 4        | 30.77 | 4                 | 30.77 |



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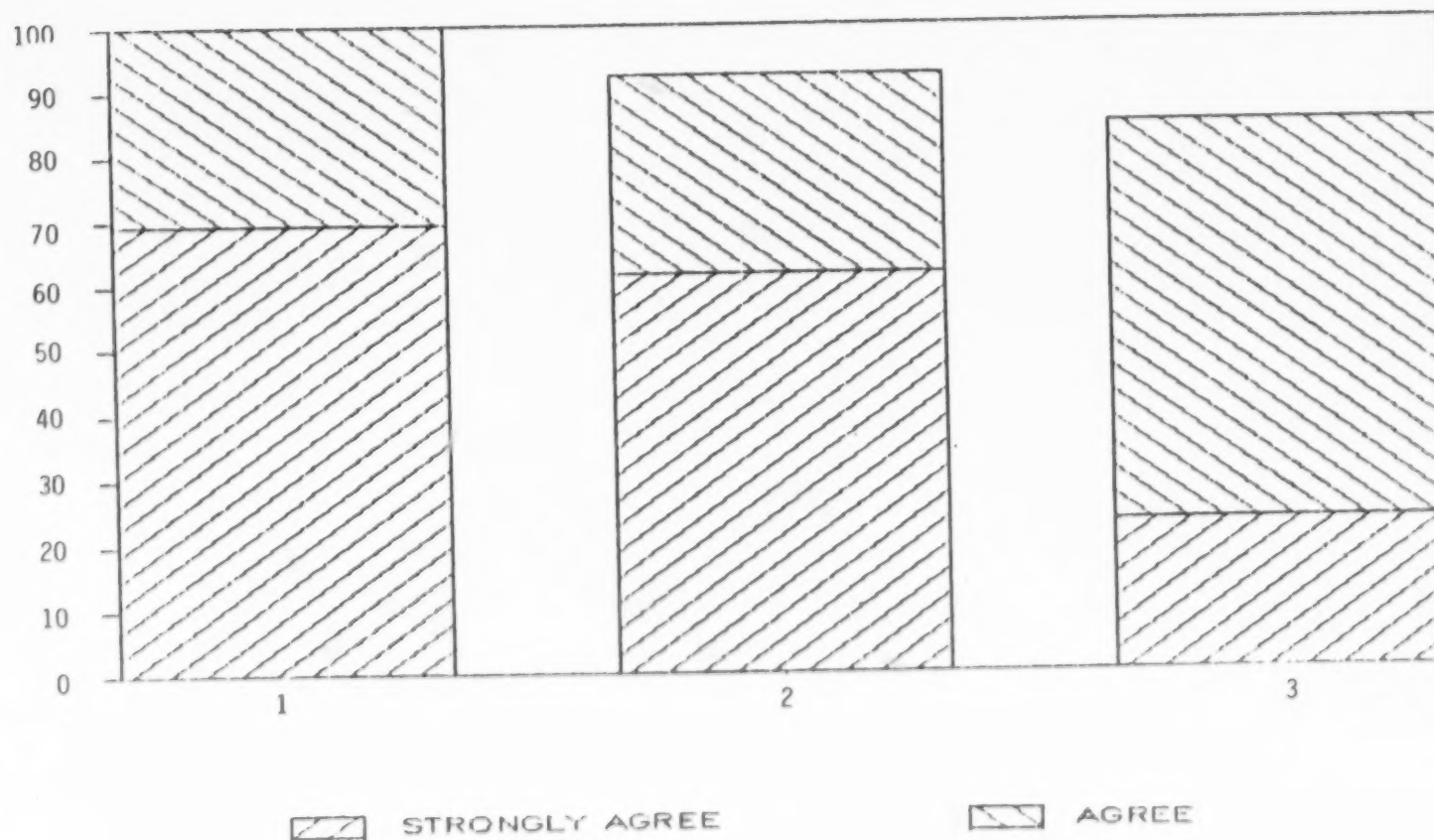


Figure 17  
Usefulness of Planning  
N = 11

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Figure 18  
Planning Knowledge  
N = 11

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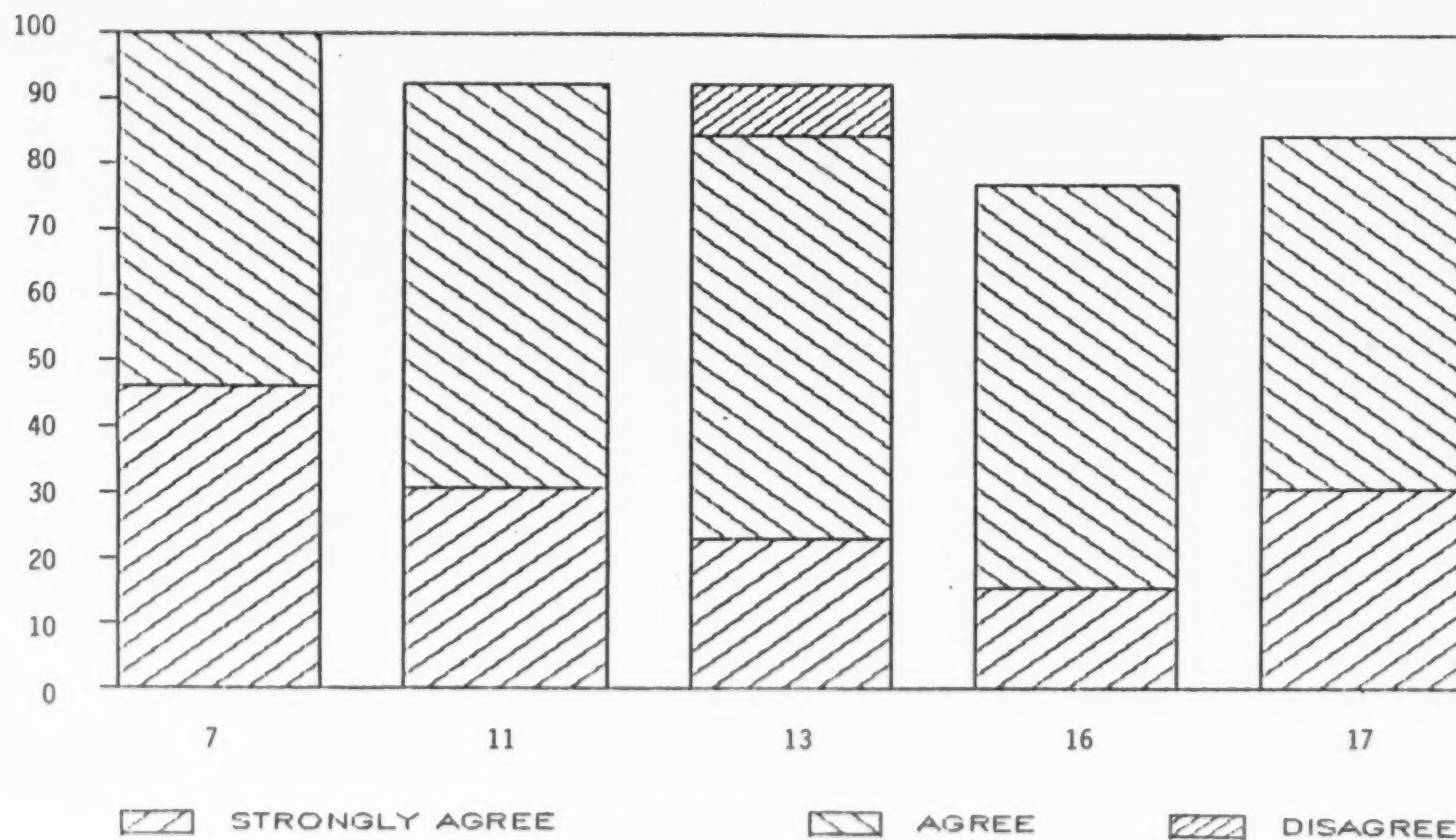


Figure 19  
Benefits of Strategic Planning

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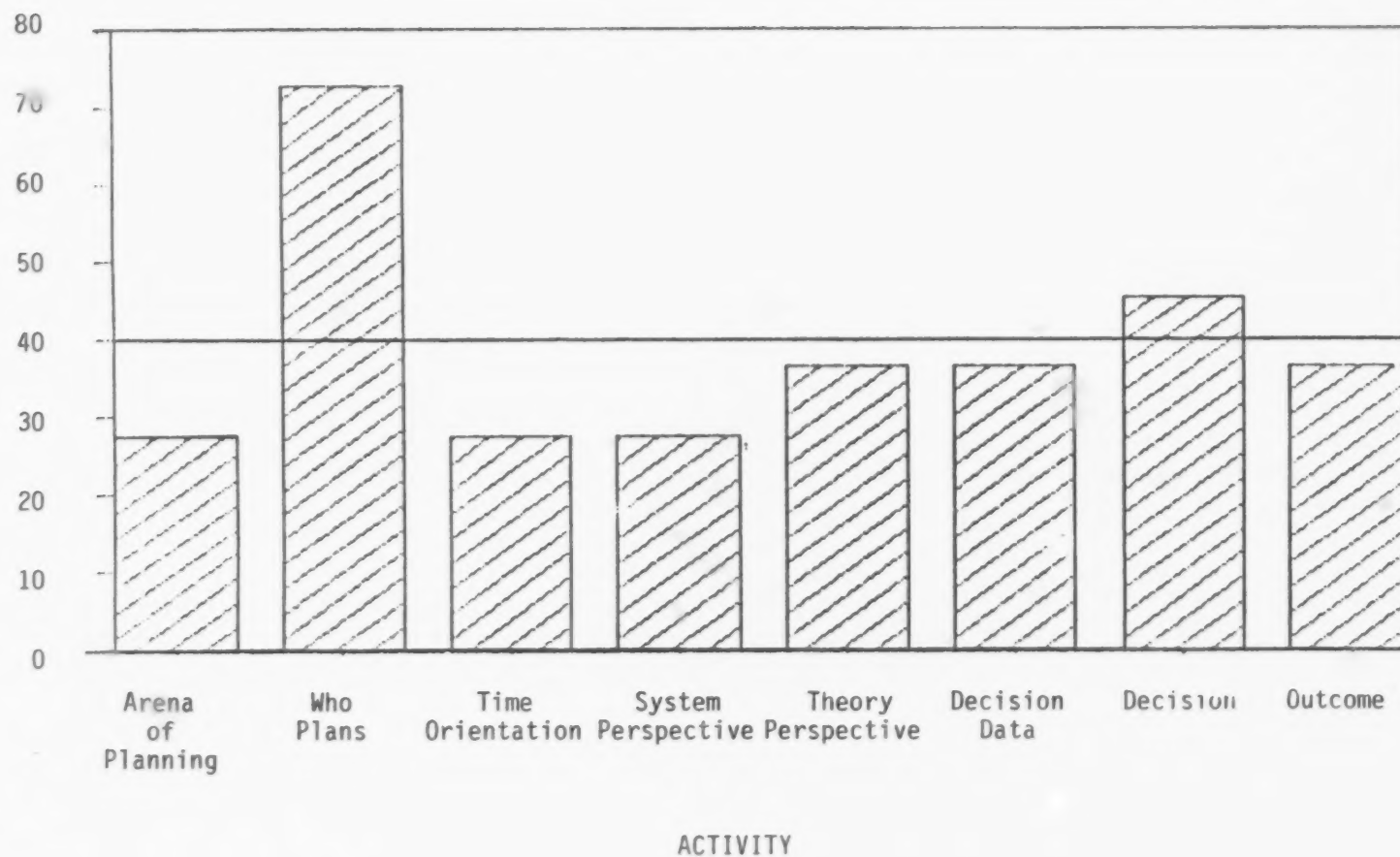


Figure 20  
Strategic Planning Pre-Assessment  
Comparison of Responses

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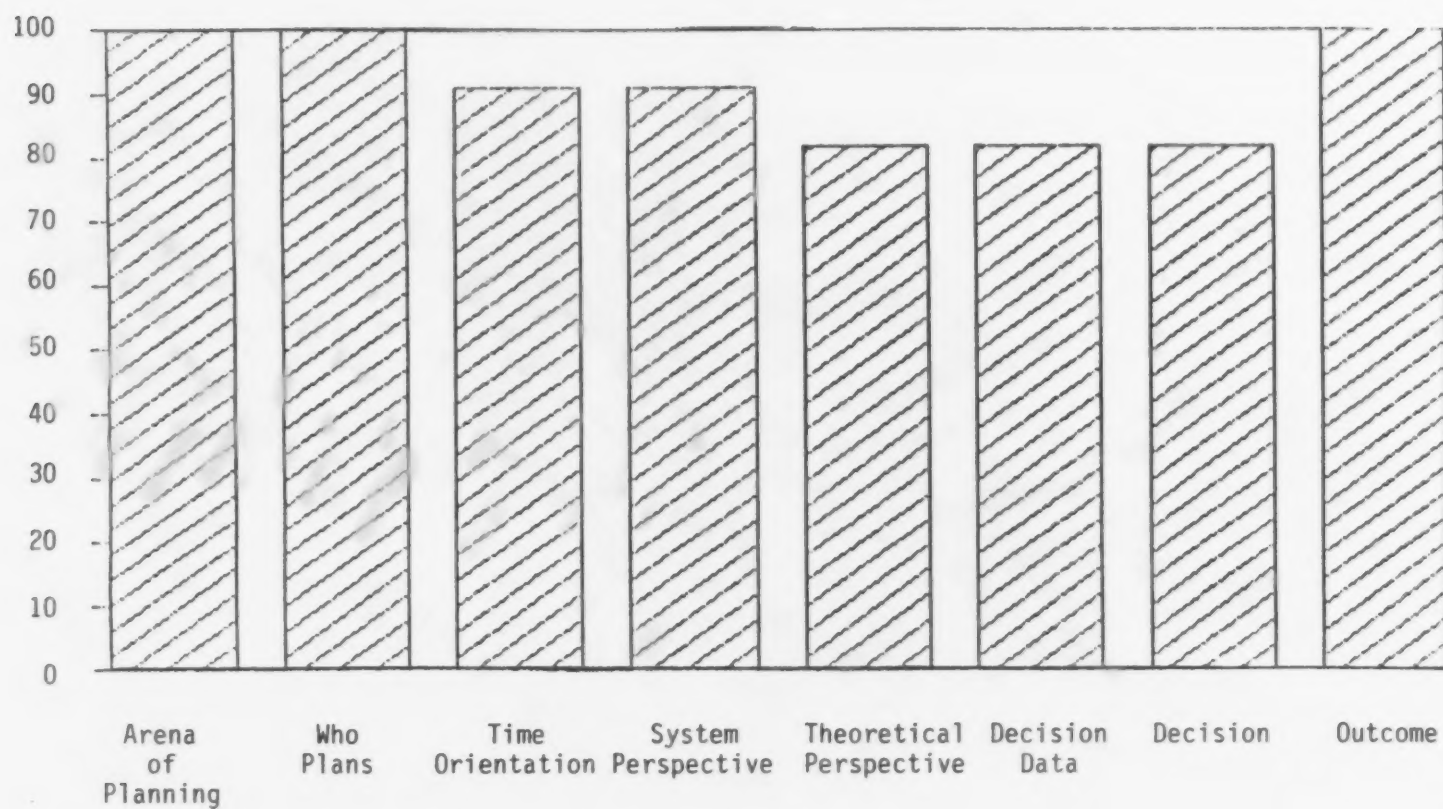


Figure 21  
Strategic Planning Post-Assessment  
Comparison of Responses

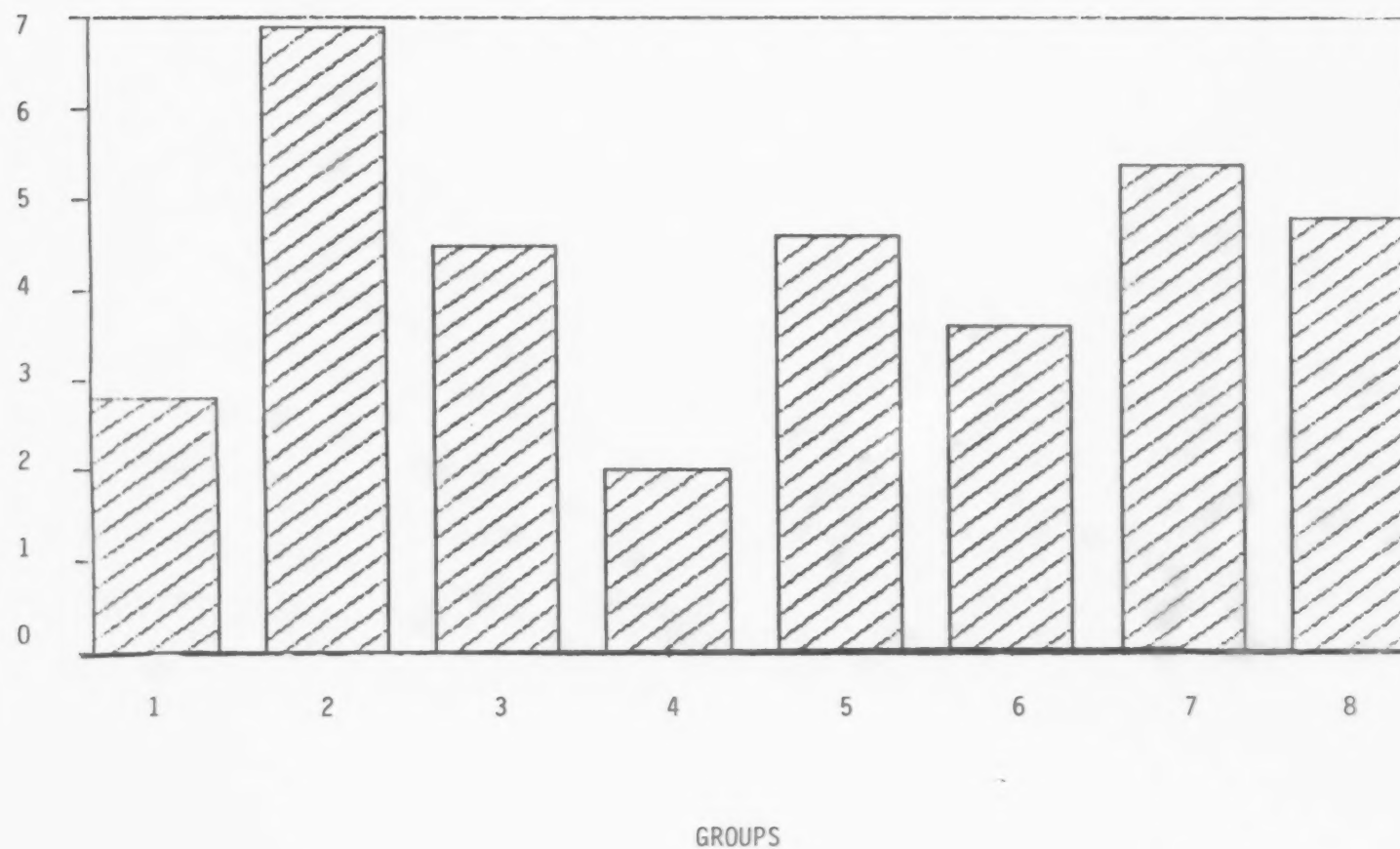


Figure 22  
Perceived Value of Various Mission Statements  
By Selected Information Services  
Personnel



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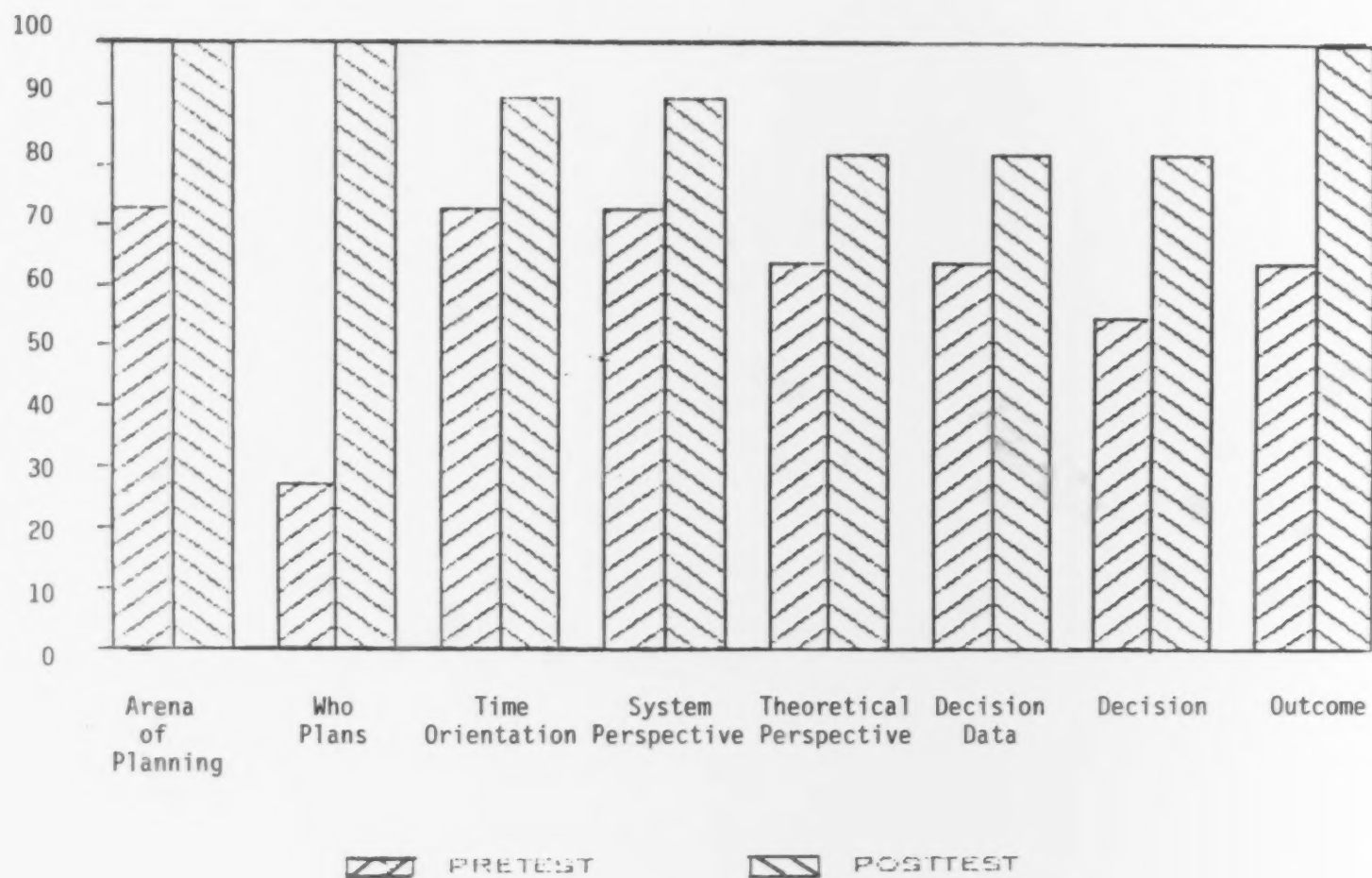


Figure 23  
Strategic Planning  
Pre-Test/Post-Test Comparison

Table 3  
Average Value Assigned to Present Programs

| <u>ITEM</u>                   | <u>AVERAGE VALUE</u> |
|-------------------------------|----------------------|
| Access: Current periodical    | 1                    |
| Access: Newspapers            | 1                    |
| Cataloging                    | 1                    |
| Depository Collections        | 1                    |
| Materials charge/discharge    | 1                    |
| Microform storage             | 1                    |
| Orientation                   | 1                    |
| Reference                     | 1                    |
| Bibliographic Info.           | 1.33                 |
| Information about Periodicals | 1.33                 |
| Computer Research             | 1.40                 |
| Instruction/Orientation       | 1.40                 |
| Provide quiet study           | 1.5                  |
| Reserve                       | 1.5                  |
| Shelving                      | 1.5                  |
| Faculty Consultation          | 1.60                 |
| Personnel                     | 1.66                 |
| Training in house             | 1.66                 |
| Budgeting Dilemma             | 2                    |
| Children's Book Reviews       | 2                    |
| Collection Development        | 2                    |
| Indexing                      | 2                    |
| Refers to other sources       | 2                    |
| Strong Townspeople mix        | 2                    |
| Technical Services            | 2.50                 |
| Building Security             | 3                    |
| Circulation Development       | 3                    |
| Exit Control                  | 3                    |
| Professional Development      | 3                    |
| Volunteer staffing (free)     | 3                    |
| Recalls                       | 4                    |
| Renewals / Holds              | 4                    |
| Traces (missing books)        | 4                    |
| Locker/Carrel Issue           | 5                    |
| Special Collections           | 5                    |

Table 4  
Times Mentioned  
in Present Programs

| <u>ITEM</u>                 | <u>TIMES MENTIONED</u> |
|-----------------------------|------------------------|
| Instruction/Orientation     | 6                      |
| Reference                   | 6                      |
| Faculty Consultations       | 5                      |
| Bibliographic Info.         | 4                      |
| Computer Research           | 4                      |
| Circulation Development     | 3                      |
| Collection Development      | 3                      |
| Personnel                   | 3                      |
| Training in House           | 3                      |
| Info About Periodicals      | 2                      |
| Reserve                     | 2                      |
| Shelving                    | 2                      |
| Technical Services          | 2                      |
| Access: Current periodicals | 1                      |
| Access: Newspapers          | 1                      |
| Budgeting Dilemma           | 1                      |
| Building Security           | 1                      |
| Cataloging                  | 1                      |
| Children's Book Reviews     | 1                      |
| Depository Collection       | 1                      |
| Exit Control                | 1                      |
| Indexing                    | 1                      |
| Locker/Carrel Issue         | 1                      |
| Materials Charge/Discharge  | 1                      |
| Microform Storage           | 1                      |
| Orientation                 | 1                      |
| Professional Development    | 1                      |
| Provide quiet study         | 1                      |
| Recalls                     | 1                      |
| Refers to other sources     | 1                      |
| Renewals / Holds            | 1                      |
| Special Collections         | 1                      |
| Strong Townspeople Mix      | 1                      |
| Traces (missing books)      | 1                      |
| Volunteer Staffing (free)   | 1                      |

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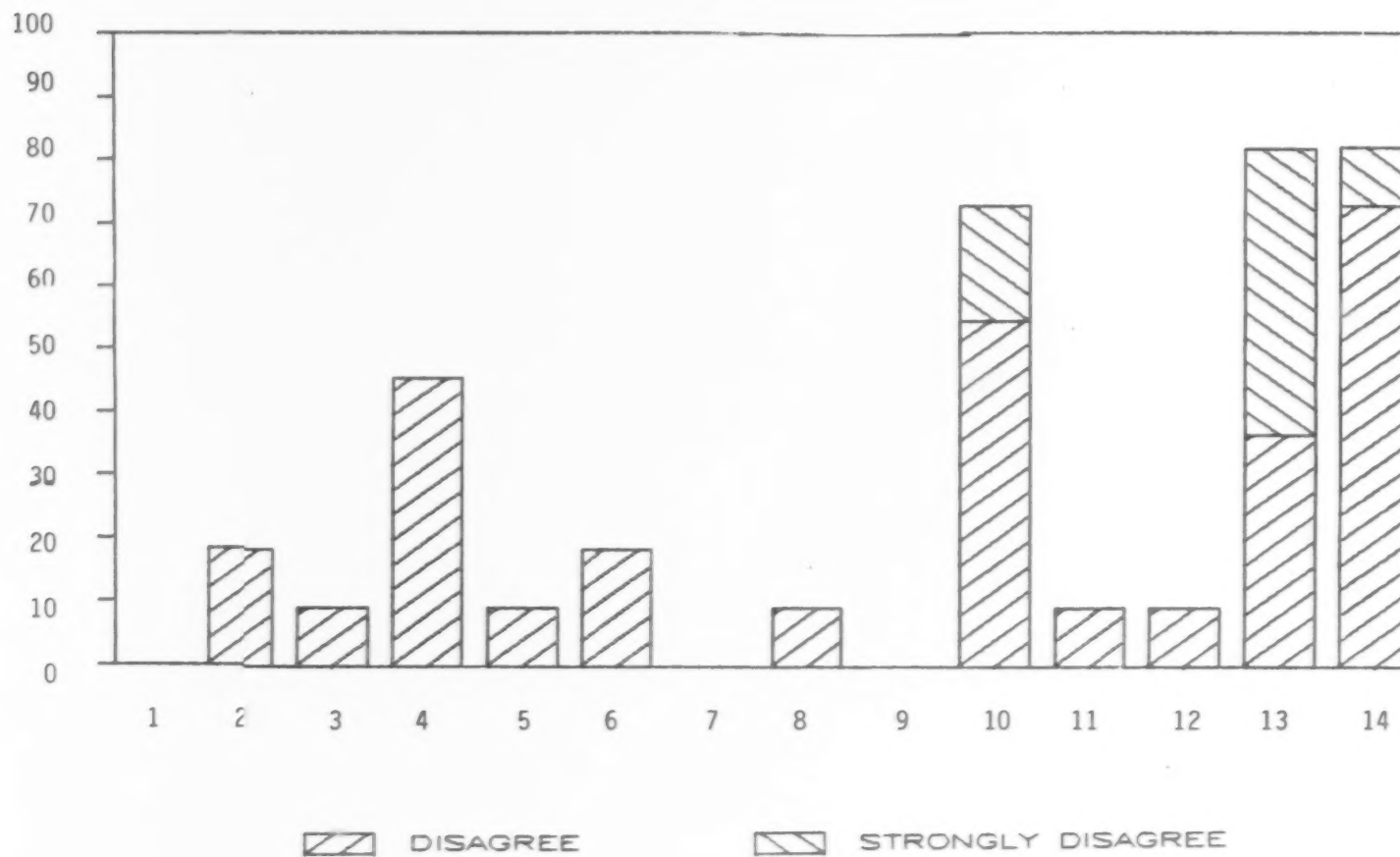
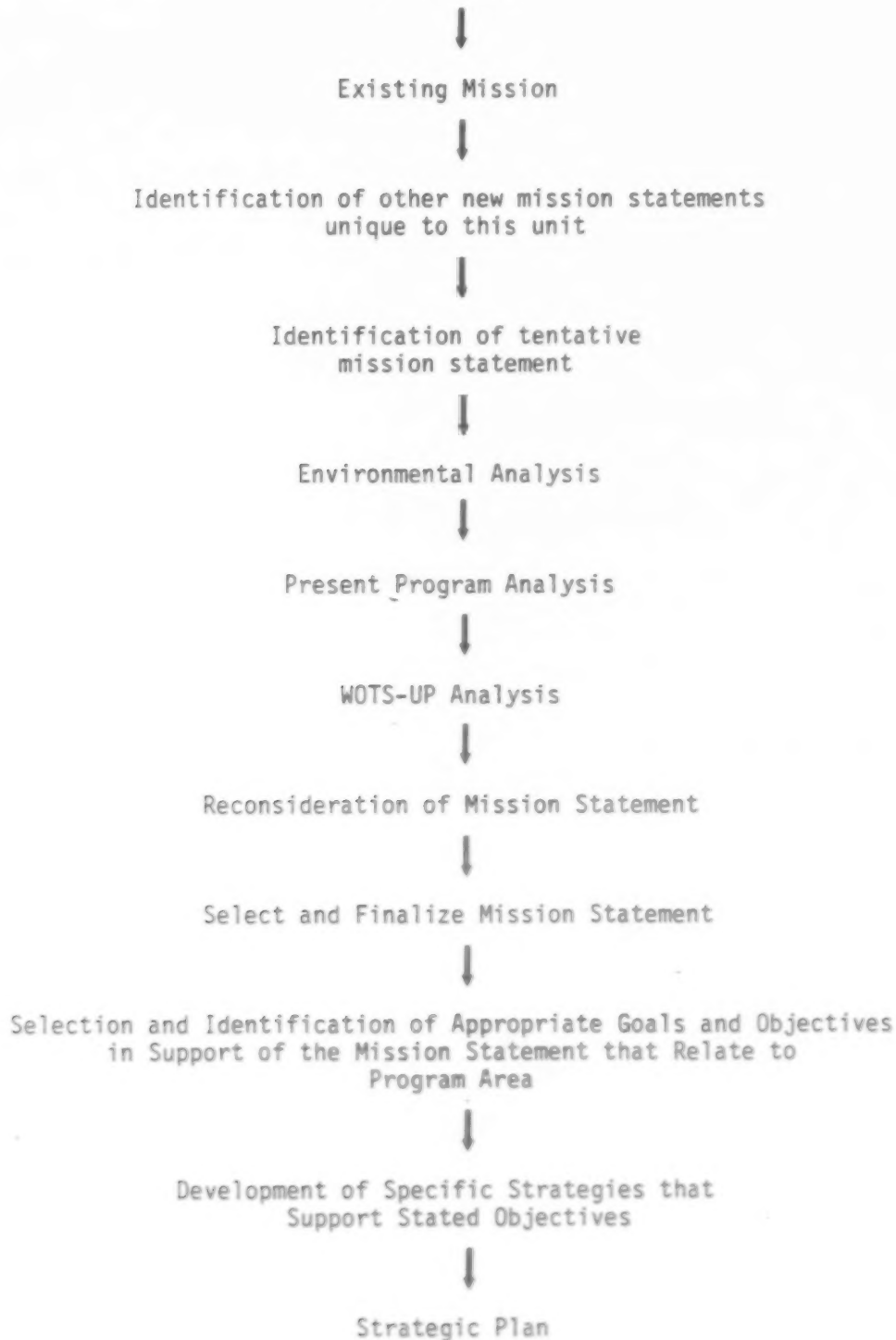


Figure 24  
Strategic Planning Process  
Evaluation

MODEL OF THE PLANNING PROCESSES FOR THE  
DEVELOPMENT OF A STRATEGIC PLAN  
FOR A PUBLIC SERVICES UNIT  
OF A LIBRARY



## CHAPTER 5

### INTERPRETATION, CONCLUSIONS AND RECOMMENDATIONS

#### Interpretation of Results

Analysis of the data showed that there was general agreement among librarians in the Information Services Division, library administrators and outside consultants that a strategic plan was needed for the Information Services Division of the Harold B. Lee Library. Respondents from the UCLC group of library administrators also supported the need for a model. Although strategic planning models were few for libraries, authors such as Riggs (1984), Braude (1983) and Wood (1983) provided models that could be applied to libraries or other non-profit organizations.

The planning group scored lower than anticipated on their understanding of strategic planning concepts. A possible explanation was that the language used in the instrument contained too much unfamiliar jargon. Another reason may have been that the responses of the planning group were biased by their desire to please their supervisor, who is also the researcher, rather than their reasoned opinion. The results of the survey to UCLC administrators showed little understanding of strategic planning concepts.



Again, use of terminology peculiar to this type of planning and therefore unfamiliar to the planners might be an explanation why scoring was not higher.

Five major research questions were addressed in this study:

1. What is the basic mission of the Information Services Division of the library?
2. What are the relevant environmental factors?
3. What are the weaknesses, opportunities, threats and strengths of the organization?
4. What are the appropriate strategies for the organization?
5. What is the appropriate schedule for implementation of the plan?

#### Answers to Research Questions

1. A tentative mission statement produced by the planning group followed the pattern suggested by Braude (1983), Riggs (1984), Kemper (1967) and others who note that quality planning cannot occur until identification of mission or purpose has occurred. Ideas for this statement were derived from previous mission statements of the library (Lee 1980). Members of the planning group agreed that this activity was important, but also noted along with the researcher that since strategic planning was a continuous process, that decisions about the mission could be altered at a later time.

2. One of the important differences between conventional planning and strategic planning is the analysis of the

environment. Long lists of potential environmental factors were produced by the planning group. These initial lists were evaluated and those factors which appeared most often were selected. Most planners noted in the one-on-one sessions with the researcher that although they were aware these "factors" existed, sufficient attention had not been paid to them in previous planning efforts. The results of this segment of the planning was particularly productive as it set the stage for later activities.

As part of identifying environmental factors participants also outlined significant programs already in place in their area. The combination of program and environmental analysis provided an excellent background in which to consider appropriate strategies.

3. This analysis proved disappointing. Stiener (1979:) considers the WOTS-UP activity a valuable tool in assisting corporations to assess their organization vitality. A potential explanation for the results of this activity is that it was not utilized early enough in the planning process and therefore lost its potential effectiveness as a planning tool. Ostler (1984) noted in an earlier workshop planning session that when the WOTS-UP technique was used early in the planning schedule, the results were more usable.

4. As the planning process progressed the planning group seemed to find it relatively easy to move from mission to goal to objective to strategy. Although the exact

terminology varied from author to author, Riggs' (1984) notion of "operating strategies" was used to designate what Braude (1983) refers to as "action plans." Each planner designed a set of strategies unique to his/her particular program area. Further discussion revealed that being given the focus of a mission statement and attendant goals and objectives strengthened the security each one felt in developing his plans. Knowledge of environmental factors also seemed to influence the planner heavily.

5. The planning group did not hold to a rigid schedule of implementation. Some participants started immediately to implement the "strategies" that developed during the final planning stage. Most group members felt that sufficient time had passed during the planning stage that implementation where feasible should begin immediately. Baldrige and Okimi (1982:18) also stress strategic planning as a "process" rather than as a finished plan. As noted in the "workshop plan," (see Appendix B) approval to proceed was granted from the University Librarian when appropriate. He was kept apprised of any significant requests for implementation.

To evaluate the planning process, the researcher used both internal and external methods. Internal evaluation by the planning group showed that a high percentage judged the planning process as typical of strategic planning. Only the responses on survey statements four and eight dropped below 80 percent. Statement four, "normal operating procedures

were relaxed," was rated at only 55%. One partial explanation for this low percentage was that operating procedures were already sufficiently relaxed for a good planning environment. Statement number eight, "adequate support was provided for the decisions reached," scored at 52%. A possible reason for this low score might be that insufficient time had passed for the respondents to actually make a judgment. Another possible explanation may have been based on past experiences with administrative support.

In responding to statements in the strategic planning evaluation form describing the characteristics of strategic planning, respondents correctly identified (80% or higher) the characteristics of strategic planning i.e. "internal," rather than "external," an "art form" rather than an "exact science," showing that they had a good understanding of strategic planning concepts.

External evaluation was accomplished through an instrument developed by Lowry (1984:142). Respondents in this survey stated that overall there was strong evidence of good strategic planning. Some concern was expressed by the respondents that the model would be clearly understood only by someone familiar with strategic planning techniques and that the model would be more reflective of strategic planning if the model had been depicted as circular rather than linear, since the process of strategic planning is a continuous circular activity.

### Conclusions

Use of strategic planning techniques are recognized by library leaders and others as one significant way libraries can meet the challenges of the future. Donald Riggs has (1984:3-4) commented that because strategic planning looks at an organization in such a systematic way it may well be that conservative organizations such as libraries can benefit greatly from this kind of planning. Naisbitt (1982:299), Riggs (1984:6) and others have observed that better planning will be required of libraries as they seek to satisfy the needs of their patrons in an information age. As a result of strategic planning practices, libraries can respond in a flexible positive way to a rapidly changing environment (Riggs 1984:3-4).

Effective short-range and medium-range planning had not been effective for the Information Services Division of the HBLL. Although conventional plans had been written and adopted, most library personnel could not locate these documents to make use of them. A needs assessment conducted of division personnel and UCLC administrators showed a clear need for alternate kinds of planning. Strategic planning techniques were identified as a good alternative to past conventional type planning.

The purpose of this study was to develop a strategic plan for the Information Services Division of the HBLL and to develop a model which could be utilized by UCLC member



libraries. Data from personnel of the division, administration of the library and UCLC administrators were gathered to identify the specific elements of the strategic planning process. For this study the pre-tested instruments designed to collect data for a strategic plan and its evaluation were reliable methods of collecting data from the groups identified in the study who would be able to provide the information needed. Limitations accepted were that the population would be small and that the plan would be developed and designed exclusively for the Information Services Division at the HBLL. It was further recognized that the model to be developed from the planning activities would only be applicable to UCLC member libraries. Complete implementation of the strategic plan was not anticipated.

According to Wood (1983:15-20) libraries must consider adopting the business concepts, marketing and strategic planning if they are to survive the challenge of the eighties. Most predictions about the future of colleges include conditions of decline (Cameron 1983:35). The literature clearly suggests that if organizations are to successfully deal with this crisis mentioned by Wood (1983:15-20) alternative planning systems will need to be employed.

This research effort was a direct response to the "crisis" facing libraries and the anticipated problems that would confront the HBLL. From the data collected in the study a viable strategic plan was devised. Further a model

of strategic planning that could be adopted to UCLC member libraries was developed. The process used in the development of the strategic plan followed established strategic planning concepts. Identification of mission, environmental analysis, present program analysis, assessment of strengths and weaknesses, assignment of strategies and implementation were strategic planning activities that provided data for the development of a "plan" for the Information Services Division of the HBLL. Tested planning techniques were utilized in the process of planning. Mechanisms for frequent staff interaction and guidance were provided in problem-solving techniques. The organization's mission and patrons were of prime concern during the planning stages. The "process" of planning rather than undue emphasis on the "plan" itself was kept in clear perspective. The plan's time frame related to a short-medium range orientation. The cooperative efforts of the planning team, library administrators and UCLC member libraries, resulted in a strategic plan for the Information Services Division and a model of strategic planning for public service units of academic libraries.

#### Recommendations for the Improvement of Practice

The strategic plan for the Information Services Division at the BYU Library was presented to the University Librarian during Spring semester, 1985. At this meeting approval was received for implementation of the planned strategic activities. Additionally, the strategic planning



model was presented to the Administrative Council during Spring semester, 1985. In attendance were the university librarian, and four library division heads. The members of the administrative council reinforced the importance of this kind of planning and approved the model for presentation to UCLC libraries and for inclusion in the university accreditation report.

Recommendations follow. It is recommended that:

1. The members of the planning group implement the specific strategic activities incorporated in their individual plans during Summer and Fall semesters, 1985.
2. The members of the planning group continue to develop goals, objectives and strategies to support the agreed-upon mission statement of the division.
3. Other divisions in the library employ strategic planning techniques.
4. UCLC member libraries introduce strategic planning in their libraries as a result of exposure to the planning model.
5. The members of the planning group provide inservice training in strategic planning techniques for departmental employees in their program area.

#### Dissemination

The strategic planning model will be made available to UCLC member libraries in the following ways:

1. A paper will be presented at the 1986 Utah Libraries Association (ULA) conference summarizing the results of the study.
2. A workshop will be presented to the members of the UCLC Public Services Committee at the Fall 1985 meeting.
3. The abstract will be published in the ULA newsletter, HATU.

Division heads of the HBLL will receive copies of the planning process and model that was developed. They will be encouraged to adopt these planning practices in their divisions. The researcher will make himself available as a resource to the three other division heads.

#### Summary

The review of the literature showed that little strategic planning had been done in libraries. No models specific to public service units of academic libraries were available in the literature researched for the study. A strategic plan was therefore developed for the Information Services Division of HBLL. A model was created that could be used by other academic libraries who are members of the UCLC group. Results of this study indicated that strategic planning techniques were both beneficial to the Information Services Division as well as UCLC member libraries.

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APPENDIX A  
ELIA'S SEQUENCE OF PLANNING STEPS  
AT UNIVERSITY X

April - July 1977  
Step One  
Conceptualization

1. Development and implementation of planning assumptions conceptualized by President, Director of Research and Planning, and consultant. Planning for:
  - a. Assessment of scope of University mission and goals.
  - b. Introduction and implementation of strategic planning process as expressed by Hofer/Schendel (1978).
  - c. Coordination of strategic planning process by Research and Planning Office.
  - d. Broad-based participation of University-wide management team using workshop mode with support and involvement of President.

August - September 1977  
Step Two  
Preparations for  
Workshop One

2. Preparing of necessary planning materials and providing supportive environmental information by Director of Research and Planning.
3. Meeting of President and Director of Research and Planning with Vice Presidents to describe strategic planning process; Vice Presidents begin to introduce strategic planning concepts to their staffs.
4. Distribution of planning guidelines and materials to workshop participants (management team) by President.
5. Selection of University-wide facilitators by President and Director of Research and Planning; facilitators learn about strategic planning techniques and review their roles through "mini" strategic workshops.

October 18, 1977  
Step Three  
Workshop One

6. Directing of Workshop One by President. Task I, "What Are Strengths of University X," and Task II, "What Major Strengths Do You Want Emphasized at University X" completed in group sessions.

Reconvening of management team, at which time consultant and Director of Research and Planning explain strategy development assignment for Workshop Two. Assessment of Workshop One for the purpose of improving the design of the mode of Workshop Two.

October - December 1977  
Step Four  
Participatn Assignments  
in Preparation for  
Workshop Two

7. Summary of Workshop One tasks and conclusions reached by the participants are put into five broad categories by Director of Research and Planning. Workshop assessment distributed to participants.
8. Distributing of these materials by President to strategic planning participatns; requesting participants to select area of interest for assignment for Workshop Two.
9. Dividing of participants into five interest groups by President and Director of Research and Planning and distributing agenda and task directions for measureable objectives for Workshop Two.
10. Holding of mini workshops by the President, Director of Research and planning and consultant for facilitators to be familiarized with Workshop Two materials and tasks.

11. Meeting of interest groups to select measureable strategic planning objectives in preparation for Workshop Two.
12. Summarizing objectives prepared by interest groups by Director of Research and planning for Workshop Two.

January 18, 1978  
Step Five  
Workshop Two

13. Reviewing Workshop One tasks by President, Director of Research and Planning and consultant within a strategic planning framework; written reports of interest group assignments on strategic planning objectives are presented orally. Tasks I and II are completed: "Identifying and Refining of Organizational Strategies," "Reevaluating Strategies for Consistency and Alternative Action Plans to Implement Strategies." Assessment of Workshop Two for purpose of improving the design of mode for Workshop Three.

January - March, 1978  
Step Six  
Strategy Plan  
Development

14. Summary of Workshop Two and writing first draft of strategy plan by Director of Research and Planning. Workshop Assessment distributed to participants.
15. Distribution of planning guidelines and materials to strategic planning interest groups by President for prioritizing alternative action plans.
16. Completing Alternative Action Priorities of Strategy Plan by participants and summarizing of their "fine tuning" efforts by Director of Research and Planning.

17. Approving Strategy Plan Version 1978 by President and Board of Trustees.
18. Distribution University-wide of Strategy Plan Version 1978.



APPENDIX B  
WORKSHOP ACTIVITIES AND LOG  
FOR STRATEGIC PLANNING  
IN THE INFORMATION  
SERVICES DIVISION

|    | <u>Sources</u>       | <u>Dates</u> | <u>Activities</u>                                                                                                                                                                                                                                                                                                                    | <u>Log Report</u>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
|----|----------------------|--------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 96 | Proposal<br>page 53  | March 4      | Administer pre-assessment<br>instrument.<br><br>Evaluate results and adjust<br>activities appropriately to address<br>areas of conceptual weakness of<br>the group.                                                                                                                                                                  | Participants completed the evaluation<br>in 5-10 minutes. The results of the test<br>showed the group was unfamiliar with strategic<br>planning techniques and vocabulary. Strategic<br>planning activities were modified to include<br>definition of the terminology most often<br>missed (see Appendix )                                                                                                                                                                                                   |
|    | Mission<br>Statement | March 11     | "Brainstorm" for Mission<br>Statement Clarification and<br>identification of library<br>"values." Prepare handout of<br>definitions for: "arena of<br>planning," "Who plans." During<br>the week meet individually<br>with each planner to prioritize<br>mission statement and review<br>of definitions.                             | Discussed concepts "arena of planning" and<br>"who plans" with planning group. Started<br>brainstorming session by utilizing old Lee<br>Library mission statement (see Appendix ).<br>Developed a list of 24 potential statements<br>for the mission of the division. Followed up<br>on this activity by reducing this list into 8<br>basic groups of like statements. During<br>individual meetings with planners they were<br>asked to rank order these 8 groups of<br>statements.                         |
|    | Mission<br>Statement | March 18     | Present findings of previous<br>week's activity-- Seek group<br>consensus of mission statement.                                                                                                                                                                                                                                      | From previous week's activity a "tentative"<br>statement was presented to the group (see<br>Appendix ). Consensus was <u>not</u> sought but<br>opportunity for input was promised later.                                                                                                                                                                                                                                                                                                                     |
|    | Braude<br>page 27    | March 18     | Define orally and through a<br>handout the meanings and<br>purpose of an "environmental<br>analysis." Brainstorm and<br>identify environmental factors.<br>Meet with planners individually<br>and prioritize list of environmental<br>factors. Also, discuss the<br>concepts: "System Perspective"<br>and "Theoretical Perspective." | An explanation of environmental factors was<br>given to the group using a handout (see<br>Appendix ). Each participant in the group<br>was asked to identify as many factors as<br>possible in each category listed on the<br>paper. During the remainder of the week one-<br>on-one sessions with each of the participants<br>was held. During these sessions additional<br>"factors" were added to the list. Each<br>member of the group was allowed to review every<br>other participant's contributions. |
|    | Braude               | March 25     | Present findings of the "environ-<br>mental analysis" activity and<br>seek consensus. Define orally and<br>through a handout.                                                                                                                                                                                                        | _____<br>_____<br>_____<br>_____                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |

| <u>97</u><br>Sources  | <u>Dates</u> | <u>Activities</u>                                                                                                                                                                                                                                                                                                                                                                 | <u>Log Report</u>                                                                                                                                                                                                                                                                                                                                                                                                               |
|-----------------------|--------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Braude<br>pages 28-19 | March 25     | "Program Analysis." Ask group to identify existing programs of the library keeping in mind both external and internal factors. During individual sessions with planners identify the value and effectiveness of the current program.                                                                                                                                              | Was ill on the 25th but followed up during the week with individual participants. Each planner developed a list of "present programs" for their area. Each program was given a value (see Appendix ).                                                                                                                                                                                                                           |
| Braude<br>pages 28-29 | April 1      | Present findings of the "program analysis" seek consensus from the group. Using Stiener's WOTS-UP instrument as a model, brainstorm to develop a list of items in each category. Ask each planner to prioritize the list.                                                                                                                                                         | Presented Stiener's WOTS-UP model to group. Results were disappointing as the participants were already beginning to synthesize. The brainstorming produced no new ideas. Followed up during the week with individuals and enlarged list only slightly. Discussed results of program analysis with individual planners.                                                                                                         |
| Braude<br>pages 28-29 | April 8      | Present findings of WOTS-UP type analysis. Invite the University Librarian to be present. Check for consensus from group review original "Mission Statement." Ask if any changes, alteration or additions that would be appropriate. Gather "modifications" as needed. Meet individually with planners and further discuss and refine their feelings about the Mission Statement. | Using the results of previous weeks' activities and having consulted with the planners, rewrote the mission statement. Some wording changes, but very close to the original document. Utilized library staff member in rewriting the mission statement. The University Librarian was unable to attend due to scheduling conflict but, the current draft of the mission was explained to him and he approved it.                 |
| Braude<br>pages 34-35 | April 15     | Report changes in Mission Statement if appropriate. Ask group to identify areas in which goals and objectives should be stated (these should support the Mission Statement). Assign individuals of smaller groups to develop the statements. Meet with these individuals or groups, redefine goals and objectives.                                                                | Revised mission statement with minor changes. It was again presented to the planners. Consensus was achieved. Goals and objectives were identified by each participant according to their particular program needs. Each participant was provided with samples of library goals and objective to help them with this activity (see Appendix ). Additionally, a synthesis of Environmental factors was provided (see Appendix ). |

| <u>Sources</u>        | <u>Dates</u> | <u>Activities</u>                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                         |
|-----------------------|--------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------|
| Riggs<br>pages 45-47  | April 22     | Present the goals and objectives to the whole group. Seek consensus. Explain the characteristics of "strategies" to the group and ask them to identify as many as "strategies" which support the "Mission", "goals" and "objectives" of the division as possible. Meet individually with the planners and ask them to rank all the strategies in terms of potential value in achieving its mission. | No meeting--holiday                                                                                                                                     |
| Braude<br>pages 34-41 |              |                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                                                                         |
| Riggs<br>pages 45-47  | April 29     | Present list of most valued "strategies" to group. Seek consensus. Discuss implementation plan. Calendar these activities for Fall 1985. Involve the University Librarian in these activities. During the week following administer the Post-assessment document. Additionally the "Strategic Planning Process Evaluation Form" will also be administered to the group.                             | Using a modified form from Braude (see Appendix ) participants identified at least 1 objective for implementation with alternative strategies for each. |
| Proposal<br>page 53   |              |                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                                                                         |
| Proposal<br>page 46   |              |                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                                                                         |
|                       | May 20       | Administer post-test instrument                                                                                                                                                                                                                                                                                                                                                                     | The post-test instrument was administered.                                                                                                              |
|                       | May 27       | A summary of the results will be presented to the Administrative Council of the Lee Library. Their approval will be sought.                                                                                                                                                                                                                                                                         | All eleven members of the planning group were present. The results were presented to the Administrative Council.                                        |

APPENDIX C  
UCLC OPINIONNAIRE



## Brigham Young University

Harold B. Lee Library  
Sterling J. Albrecht  
University Librarian

100

Dear Colleague:

The purpose of the enclosed opinionnaire is to determine your interest and the potential usefulness of strategic planning techniques to your institution. Since you may not be aware of the differences between traditional and strategic planning I have reproduced an explanation offered by Baldrige and Okimi that might prove helpful. As you answer the opinionnaire please feel free to refer back to this table. Thanks in advance for your cooperation.

Larry J. Ostler  
Assistant University Librarian  
for Information Services

### Comparison of Strategic Planning and Conventional Planning

| <u>Activity</u>            | <u>Strategic<br/>Planning</u>           | <u>Conventional<br/>Planning</u>                |
|----------------------------|-----------------------------------------|-------------------------------------------------|
| Arena of<br>Planning       | 1. Organization's Destiny,<br>Market    | Wide Range of Issues,<br>Nonroutine and routine |
| Who Plans                  | 2. Top-level Officers                   | Planning Office                                 |
| Time<br>Orientation        | 3. Medium/Short Range                   | Long Range                                      |
| System<br>Perspective      | 4. External<br>Environmental            | Internal<br>Organizational                      |
| Theoretical<br>Perspective | 5. Open System                          | Closed System                                   |
| Decision<br>Data           | 6. Both Quantitative and<br>Qualitative | Quantitative                                    |
| Decision                   | 7. Complex Art Form                     | Exact Science                                   |
| Outcome                    | 8. Stream of Critical<br>Decisions      | Plan, Blueprint                                 |



## UTAH COLLEGE LIBRARY COUNCIL OPINIONNAIRE

The following statements represent opinions. Your agreement or disagreement will be determined on the basis of your particular beliefs. Kindly check your position on the scale as the statement first impresses you. Indicate what you believe rather than what you think you should believe.

SA = I strongly agree  
 A = I agree  
 U = I am undecided  
 D = I disagree  
 SD = I strongly disagree

|                                                                                                                                                                                                                          | SA          | A           | U           | D           | SD          |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------|-------------|-------------|-------------|-------------|
| 1. Planning is a vital part of good library operations.                                                                                                                                                                  | 9<br>69.23% | 4<br>30.77% | 0<br>0%     | 0<br>0%     | 0<br>0%     |
| 2. Knowing how to plan effectively is an important skill for library managers.                                                                                                                                           | 8<br>61.53% | 4<br>30.77% | 1<br>7.70%  | 0<br>0%     | 0<br>0%     |
| 3. Planning documents are only useful when applied to daily operations.                                                                                                                                                  | 3<br>23.07% | 2<br>15.38% | 4<br>30.77% | 2<br>15.39% | 2<br>15.39% |
| 4. Planning has nothing to do with effective library operations.                                                                                                                                                         | 0<br>0%     | 1<br>7.70%  | 1<br>7.70%  | 3<br>23.07% | 8<br>61.53% |
| 5. Library leaders are generally in need of strategic planning skills.                                                                                                                                                   | 3<br>23.07% | 8<br>61.54% | 2<br>15.39% | 0<br>0%     | 0<br>0%     |
| 6. The primary focus on planning is the "process."                                                                                                                                                                       | 1<br>7.70%  | 3<br>23.07% | 0<br>0%     | 7<br>53.84% | 2<br>15.39% |
| 7. Utah libraries could benefit by learning strategic planning techniques.                                                                                                                                               | 6<br>46.15% | 7<br>53.85% | 0<br>0%     | 0<br>0%     | 0<br>0%     |
| 8. Most library managers did not learn strategic planning skills in graduate school, therefore, need additional help in this area.                                                                                       | 4<br>30.77% | 8<br>61.53% | 1<br>7.70%  | 0<br>0%     | 0<br>0%     |
| 9. Strategic planning is just another gimmick like Planning, Programming, and Budgeting System (PPMS), Management by Objectives (MBO), Program Evaluation Research Task (PERT), and Management Information System (MIS). | 0<br>0%     | 3<br>23.07% | 2<br>15.39% | 4<br>30.77% | 4<br>30.77% |

10. Even when planning has occurred in the library, decisions are made which do not utilize the "plan."
11. Knowing how to use strategic planning is important for library managers.
12. Daily decisions are made in the library without benefit of library planning.
13. Our staff could benefit from knowing how to use strategic planning techniques.
14. Generally speaking planning is done to appease administrators but has little or no practical value to actual operations of the library.
15. The primary focus on planning is the final document or "plan."
16. Strategic planning skills should be taught as part of inservice training.
17. A strategic planning model would be helpful for my library.

| SA          | A            | U           | D           | SD          |
|-------------|--------------|-------------|-------------|-------------|
| 0<br>0%     | 13<br>100%   | 0<br>0%     | 0<br>0%     | 0<br>0%     |
| 4<br>30.77% | 8<br>61.53%  | 1<br>7.70%  | 0<br>0%     | 0<br>0%     |
| 2<br>15.38% | 11<br>84.62% | 0<br>0%     | 0<br>0%     | 0<br>0%     |
| 3<br>23.07% | 8<br>61.53%  | 1<br>7.7%   | 1<br>7.70%  | 0<br>0%     |
| 0<br>0%     | 1<br>7.70%   | 2<br>15.38% | 3<br>23.07% | 7<br>53.85% |
| 1<br>7.70%  | 3<br>23.07%  | 0<br>0%     | 7<br>53.84% | 2<br>15.38% |
| 2<br>15.40% | 8<br>61.53%  | 3<br>23.07% | 0<br>0%     | 0<br>0%     |
| 4<br>30.77% | 7<br>53.84%  | 2<br>15.39% | 0<br>0%     | 0<br>0%     |

APPENDIX D  
LETTER OF SUPPORT  
STERLING ALBRECHT, UNIVERSITY LIBRARIAN,  
BRIGHAM YOUNG UNIVERSITY

Campus Memorandum  
Brigham Young University

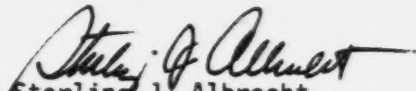


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|      |                      |      |                 |      |         |
|------|----------------------|------|-----------------|------|---------|
| From | Sterling J. Albrecht | To   | Larry J. Ostler | Date | 11/1/84 |
| Room | 3080 HBLL            | Room | 3080 HBLL       |      |         |

RE: STRATEGIC PLAN

Congratulations on your decision to develop a strategic plan for your division. Planning strategically for the problems ahead and those that we are now aware of in the Information Services Division is precisely what is needed to help the library move ahead in the 80's. I'm hopeful that this kind of planning will not only serve as a model for the rest of the library but for the whole academic community as well.

  
Sterling J. Albrecht  
University Librarian

pjf

APPENDIX E

LETTER OF SUPPORT - KAREN BUTTER  
CHAIR, UCLC PUBLIC SERVICES COMMITTEE



THE  
UNIVERSITY  
OF UTAH

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SPENCER S. ECCLES  
HEALTH SCIENCES LIBRARY  
THE UNIVERSITY OF UTAH  
SALT LAKE CITY, UTAH 84112

(801) 581-8771  
SAN 362-5680

December 6, 1984

Larry Ostler  
Assistant University Librarian for  
Information Services  
Harold B. Lee Library  
Brigham Young University  
Provo, Utah 84602

Dear Larry:

I enjoyed talking with you the other day at the UCLC meetings at BYU. I hope the UCLC Committee will be able to agree on the revision of the brochure.

I'm interested in your project to develop a strategic plan for your Public Services Division at the Lee Library. The model you develop there could have some positive impact on other libraries in the Utah College Library Council. Perhaps you would be willing to present your findings at our Fall Meeting, 1985.

As you know, I'm currently under contract with the National Library of Medicine to complete a strategic planning project for an Integrated Academic Information Management System (IAIMS). I would be glad to assist you in developing activities for your plan. Let me know if I can be of some help.

Sincerely,

Karen Butter  
Chair, UCLC Public Services  
Committee

fkh

APPENDIX F  
MINUTES OF INFORMATION SERVICES  
DEPARTMENT CHAIRMAN MEETING



INFORMATION SERVICES  
DEPARTMENT CHAIRMEN MEETING  
MONDAY, NOVEMBER 12, 1984  
FRIENDS ROOM, 2 PM

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**Present:** Julene Butler, Gordon Casper, Terry Dahlin, Connie Lamb, Don Howard, Afton Miner, Larry Ostler, Beth Webb, Richard Jensen, Susan Fales and Patti Jo Findley

**Opening Prayer:** Susan Fales

**Minutes:** The minutes of the November 5, 1984 meeting were approved.

**Security:** Ostler has written a memo to Dan Evans about security concerns and will try to meet with the night security officer this week to discuss the concerns. It was suggested that employees be trained on how to report emergencies to University Police. It helps to identify yourself, spell your name, give your location, tell them about the incident and request assistance.

**Library Guides:** The Guides Committee is considering evaluating the use of the guides. The chairmen discussed the use of the guides and agreed that more of call number guides were needed. The chairmen will take the issue back to their floors and then provide feedback to Lamb.

**Patron Awareness Training:** Ostler reviewed the recommendation made in Administrative Council to develop some type of training for patron awareness of library services, i.e. video. The Training Committee will be working on it and the Guides Committee will consider other ideas.

**Equipment and Software Needs:** Jensen suggested that an account be established in the division to cover the cost of computer software. Ostler reviewed the ways it could be done and agreed that it was a pressing need. Jensen and Casper will talk to Scott Eldredge and evaluate the needs and get back to Ostler.

**Student Employees' Attitudes:** Ostler asked the chairmen to remind employees on their floors that their main purpose is to serve the patrons and their attitudes should reflect that.

**UCLC Proposed Workshops:** UCLC is planning two workshops next year. One will be held in February on fundraising and the other in April on conservation and preservation.

**Document Delivery:** The Administrative Council has agreed to do a study on document delivery but will wait until spring when some current projects are completed.

**Copy Center Follow-up:** Copy cards are now available for each department and can be used on one of the Kodak machines in the Center and one of the machines in Reserve. Those interested in obtaining cards should contact Scott Eldredge. Eldredge is working on some of the other concerns.

**NOTIS Training:** Training is taking place this week for the catalogers.

**Strategic Planning:** Ostler's project for strategic planning has been approved. He will be distributing more information to the chairmen on the subject in the near future.

APPENDIX G  
LETTER - VIRGINIA WRIGHT



November 21, 1984

Mr. Larry Ostler  
3080 E  
Harold B. Lee Library  
Brigham Young University  
Provo, Utah 84602

Dear Larry:

As far as I can ascertain no useful strategic planning models have been developed for health care. Listed below are four books dealing with strategic planning in health care. Unfortunately, I am unfamiliar with the latter two books and am not impressed with the first two books.

Kropf and Greenberg, Strategic Analysis for Hospital Management.

Strategic Business Planning in Health Services (Aspen Press).

Joseph Peters, A Guide to Strategic Planning for Hospitals.

William A. Flexner, ET AL, Strategic Planning in Health Care Management (Rockville, Maryland: Aspen).

In our telephone conversation, I mentioned that hospitals have only planned for growth and consequent expansion of other services in the past. However, approximately two years ago, the health care environment has become very competitive thereby providing stimulus for strategic planning. Health care providers have turned to business literature for assistance in guiding their thinking and, in turn, their planning. Ohmae's book on strategic thinking and Michael Porter's book entitled Competitive Strategy: Techniques for Analyzing Industries and Competitors have been helpful.

I am afraid that I have not been of much assistance to you. Good luck on your project. Please feel free to call me for any further discussion.

Sincerely,

Virginia Wright  
Director of Planning

VW:sh

APPENDIX H  
LETTER - DONALD RIGGS

# Arizona State University

University Libraries  
Tempe, Arizona 85287  
602/965-3417

March 20, 1985

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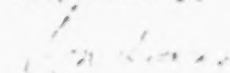
Larry Ostler  
Associate University Librarian  
Harold B. Lee Library  
Brigham Young University  
Provo, UT 84602

Dear Larry:

Enclosed are copies of two bibliographies on strategic planning which may be of help to you. I wish you the best on your dissertation.

It was my pleasure talking with you via phone. Whenever you are down in the Phoenix area, please plan on visiting with us.

Respectfully,



Donald E. Riggs  
University Librarian

DER:dal

Enclosures

APPENDIX I

HAROLD B. LEE LIBRARY MISSION STATEMENT

## HAROLD B. LEE LIBRARY

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### Mission and Goals

#### Mission

The Harold B. Lee Library, a major educational and cultural resource of Brigham Young University, the Church of Jesus Christ of Latter-day Saints, the local community, and the state of Utah, exists to acquire, preserve, and make available for use a collection of the recorded knowledge of mankind in support of the goals of the University, to assist patrons in finding and using these resources and information resources elsewhere, and to foster and encourage learning and scholarship.

#### Goals

The following broad goals have been designed to serve as a basis for the formulation of goals, objectives, and operational decision within each administrative unit of the library.

#### I. General Management Goals

##### A. Develop an effective library organization and administration.

1. Establish an administrative structure that will assure maximum effectiveness in innovative planning and decision making, communications, production, and services.
  - a. Maintain a management attitude of openness and responsiveness to permit all members of the staff to make maximum contributions to the decision-making process.
  - b. Foster policies and procedures to allow decisions to be made at appropriate levels within the organization based on the best knowledge available.
  - c. Establish a program for regular, well-planned departmental and administrative meetings to provide effective communication and staff involvement in planning and decision making.
2. Establish relationships and lines of communication with the university administration to insure library involvement in the consideration, planning, and approval of new or improved academic programs.
3. Develop effective interdepartmental cooperation and coordination and staff participation by providing for meaningful committee and task force activity that will make the best possible use of staff talent and representative points of view.
4. Provide for intelligent, cost-beneficial changes and improvements through regular analyses and evaluations and internal studies at all levels of the library organization.



5. Use internal publications, such as minutes of the various administrative meetings, the library news publication, director's office memos, and reports to record and disseminate information about library activities, decisions, and changes in the library policies and procedures.
  6. Formalize effective programs for short- and long-range planning and budget support based on established priorities and annual reviews to meet the changing needs of teaching and research.
  7. Make efficient and effective use of resources by continuing, with limited exceptions, the physical and administrative centralization of the library system, and consider branch libraries only when justified and after formal approval by the library and university administrations.
  8. Where an approved branch has been established, such as the law school library, provide for maximum cooperation and coordination to minimize the duplication of resources and to make the materials and services effectively available to the entire university community.
  9. Manage library operations to make the most effective and efficient use possible of time, personnel, supplies, and physical facilities.
- B. Obtain adequate financial support for the various library programs.
1. Prepare convincing and documented budget requests for the university administration to obtain budget allocations sufficient to maintain a level of excellence in library collections and services.
  2. Cultivate sources of gifts and outside funds to help ease the effects of the spiral in the cost of library materials and the corresponding pressures resulting from more people needing more information about expanding fields of knowledge.
    - a. Continue to promote and develop the Friends of the Library program as a means of involving interested university alumni and friends in improving and extending the benefits and influence of the library.
    - b. Continue to promote and develop the Library Memorial program as a productive and attractive way patrons of the University can memorialize friends and loved ones.
    - c. Cultivate a close working relationship with the Church development program so this agency is regularly reminded that the library is an appropriate recipient of gifts from alumni, faculty, and other donors.
- C. Attract and retain a library staff with a high level of ability, training, and growth potential.

1. Recruit professional librarians, clerical staff, and student employees who possess high intellectual capacity, character compatible with the principles of the Gospel, a dedicated commitment to the University and the ability to work effectively with others in achieving its goals.
2. Improve the competence and performance of library personnel by 1) promoting effectively planned and executed in-service training programs throughout the library and 2) supporting professional development opportunities for library faculty members and administrative staff.
3. Employ qualified minority group workers in active support of the university's Affirmative Action Program.
- D. House services and resources in space that assures proper conditions and security of the collections, provides for the comfort and study requirements of users, promotes efficient staff operations, and enhances general library operations.
- E. Actively participate in state, regional, and national cooperative programs to provide improved library services and resources at reasonable costs.

## II. Operational Goals

- A. Use new advances in technology and automation in library operations as their development promises efficient, significant improvement in making needed resources readily accessible.
- B. Develop library collections to meet the needs of current and anticipated university instructional and research programs in support of the successful achievement of Brigham Young University Goals.
- C. Provide efficient and effective acquisitions and cataloging programs to make materials quickly accessible to patrons through accurate and easy to use catalogs, indexes, and collection guides.
- D. Provide effective and efficient library patron services so that library users will have maximum ready access to library information and materials they need.
- E. Provide all of the above in a way that will foster and encourage learning and scholarship.

APPENDIX J  
BRAUDE'S ENVIRONMENTAL ANALYSIS

Planning begins with a realistic understanding of existing conditions. There are both external and internal forces affecting all organizations. These should be assessed and evaluated in order to provide a firm base for setting organizational goals and objectives and developing a plan for future action.

Environmental factors are those forces over which an organization has little or no control. Environmental change usually impacts by virtue of its existence in a larger, sometimes more complex situation.

Environmental changes may present significant opportunities if they are appropriately anticipated and structured into programs to capitalize on them; or, they may present a threat, making it necessary to alter services or modify methods of doing business. By identifying political, technological, socioeconomic or competitive changes, isolating the significant factors, and determining their probable impact, either offensive or defensive programs can be structured to exploit the potential offered or to soften the total impact.

Environmental analysis must examine both external and internal factors.

- o Customers/Users. Who are the users served by the library?  
Example: Declining enrollment; off-site educational programs.
- o Product/Service Demand. What is required by those users?  
Example: Increased demand for AV material; increased ILL.
- o Technology. How can new technology be used?  
Example: Application of computers to libraries now state-of-the-art; telefacsimile network.
- o Competition. What other organizations are offering similar products/services?  
Example: Departmental libraries; information brokers.
- o Economic. What is the likelihood of sufficient funds?  
Example: Reduced budgets; declining grant funds.
- o Political. What factors affect the ability of the library to accomplish its plan?  
Example: Patient education; state library network.

Source: Robert Braude, C.E. 258 Planning: Strategic and Tactical 1983.

APPENDIX K  
RESULTS OF ENVIRONMENTAL ANALYSIS  
FROM WORKSHOP PARTICIPANTS

## USERS

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Students (Undergrads) :

University Faculty and Staff

General Public (Researchers-business,industry)

Health Care providers

Community

Townspeople

Mail requests

CES Faculty

Church employees

Temporary Faculty, Visiting Faculty, Part-time Faculty, Church Authorities

Genealogist

ILL

High School students

U.T.C

RLG Faculty

UNCL

NCLC

Priorities: people, programs, areas, community education people, graduate students, etc.

Information

Books

Journals

Copy Services

ILL

CARS

Maps

Gout Docs

Rapid access

Reliable assistance

Current information

Onsite use of materials

How to use collection

Interpretation of collection\*

Check out books - Document delivery

Status inquiries on circulated materials

Locker/carrel use in Library Research

Faculty book delivery

Traces

Holds/Recalls

Quick access

Computer searches (CARS,RLIN)

Inerased ILL

Increased computer expertise of young students

Expectations of rapid service

Bibliographic



Specific information

122

Instruction in use

Desired for Technology curriculum on campus

Fast service

Increased microforms (Demand on Librarians)

Increased Training in bibliographic and library usage

\*Reference service

Children's books (and all that supports this)

Faculty and patron interface (servicing their needs)

Outside Business/Professional interface service

Paging in Emergencies

Answering "directional" questions

\*Quiet study space

P.C's in copy center (students)

Computer Technology require different thought process issue of "efficiency" vs. effectiveness"

ILS with data switch

Electronic Mail

CARS downloading and onsite sorting and manipulation

Updating hardware and software

Queries by faculty from offices

Control of circulated materials by computer

Quick access to location of materials

Management of collection

Interlocking catalogs

More efficient use of resources (\$) for increasing demands for service - automated check/out check/in

Improved access to reference services - enhanced knowledge of possible sources for answers

Must all bibliographic data be on ILS?

How to fund the costs of data conversion?

Access to information

Indexing

Document delivery

T. changes policy and people

Research

Materials processing

State networking among depositories

Getting as much of the collection on ILS as possible

Microforms state o the art

Pt. of use instruction - Videos to take home

Need better access to FLIN (ordering & reference)

Whole profession will change

## COMPETITION

124

Departments

Individual faculty

Other universities and public libraries

Individual access to online databases (thru home computers)

Special Libraries

State Agencies

Government database

Dialogue

LRC

Private business

ILL

Monopoly on information - who controls it?

Information brokers

Individual Librarian

Books store

Video discs

COMPETITION

125

Staffing, funding, training competition from information brokers

ECONOMIC

126

Not enough foresight to provide funds to make needed services possible  
(software/hardware)

No funds for laser readers and computers

Need to prioritize expenditures

\*Should we change for some previously free services?

Budget process too long to meet unexpected changes

Sufficient funds likely for stable \_\_\_\_\_ of service

Secure funding under church sponsorship

Increased demand for services make funding tenuous at best

Needs are expensive with hardware so it cuts into the budget.

Burgeoning private development funds

NONE

Worthwhile gifts

Intelligent use of funds

Equitable discussion of funds

Inflation

Need to increase "pie"

Not enough to do what is needed

Possible college or department participation

College departments help support

Campus and foundation, grant \$

Cost of supplies

POLITICAL

127

Financial support of administration

Patron education

Limited funds

Traditions

Insufficient hardware

Cooperation with other state and church institutions

\*Technical departments within the library control events without knowing public needs

All transactions or holdings must be appropriate in eyes of religious sponsors

Effective management of personnel/budget

Administrative support for essential services (i.e. financial delinquencies collection by central university office)

Development office grants for new programs, projects (i.e. RECON)

Good P.R. - to support development of new ILS programs

Competition for funds from other university departments

Local government units escape development of local resources because of BYU

Adequate personnel

Cooperation of departments and faculty

Budget

University administration policies and support time constraints

\*Not understanding the formal and informal political structure

Changes in programs and teaching method requiring more research.

Department and college cooperation

Faculty support

Enough trained personnel

APPENDIX L

A BRIEF SUMMARIZATION OF THE ENVIRONMENTAL ANALYSIS



The importance of environmental factors in planning cannot be over-emphasized. Braude (1983:27) notes that:

Planning begins with a realistic understanding of existing conditions. There are both external and internal forces affecting all organizations. These should be assessed and evaluated in order to provide a firm base for setting organizational goals and objectives and developing a plan for future action.

What follows is an attempt to synthesize the data that was collected in each category.

#### Users

Although at least twenty separate "users" were identified, the main service groups were university students, university faculty and staff, townspeople (especially genealogists) and church authorities. Each of these groups requires unique responses from the library i.e. students might be taught library skills as well as supplied with information and university faculty and church authorities are usually provide information.

#### Service Demand

Approximately forty "service demands" were identified. One main theme emerged, however, the demand for information and reference service. Two subsets of this broad category were "rapid or quick access to information" and "reliable assistance."

#### Technology

Again, many issues related to technology and the library were raised.

The three that follow seemed the most pertinent:

1. The effects of technology on the library
  - a. Patterns of operation

b. Effects on people

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2. How to fund the new technology
3. How to use the new technology to improve access to information.

Competition

The question of competition to the library generated the smallest list of items. It seems evident that with the application of technology to the world of information i.e. individual access to online databases and the appearance of "information brokers" a not so subtle threat to the library are also raised: 1) how will technology change the librarian as an information provider? and 2) how much information will library provide us its competitors.

Economic

An overriding concern in this category was a lack of sufficient resources to: 1) make effective use of the technology and 2) provide the unique personnel needs required. While it was noted that a minimum level of library programs would likely continue, new dollars to support uses of technology i.e. new hardware and software that support library purposes, would be difficult to obtain through conventional channels. One solution to this problem or strategy that was suggested was the "tapping" of foundation monies for their purposes.

APPENDIX M  
PRESENT PROGRAM ANALYSIS WORKSHEET  
ADAPTED FROM BRAUDE

The present program analysis considers the existing programs of the library since that will be the base for future planning. Again both external and internal factors should be considered.

- o Products/Services. What products and services are currently provided?

Example: Adequacy of collection; extent of dependency on other library collections.

- o Market. What is the present primary market area and how is it financed?

Example: Primary program funded by appropriation; ILL supported by cost recovery.

- o Facilities. How is space presently used?

Example: Present stack capacity exhausted in three years; demand for space from expanding institutional CE program.

- o Image/Relationships. How is the library viewed by its users?

Example: Positive image of library by users; positive service image and relationships with outside organization.

Source: Robert Braude, C.E. 258 Planning: Strategic and Tactical, 1983.

APPENDIX N  
PRESENT PROGRAMS  
IDENTIFIED BY PARTICIPANTS

1. Computer Research
1. Provide Bibliographic information on Specific Topics
2. Refers to other sources
1. Instruction/Reference
2. Training inhouse

1. Reference - Humanities, Arts, Music, Literature, Language, Theatre
1. Orientation
1. Instruction
  - in-house (students)
  - patron
2. Indexing
2. Bibliographic
4. Technical Services
  - Cataloging
  - Analyzing
2. Circulation Development
2. Collegial relationship with Faculty



Budget: Receives same materials as gift and loans.

1-2. Information about periodicals

1. Reserve

provide restricted use of classroom materials that support the curriculum

5. Special Collections

1. Provide access to current periodicals and newspapers

1-2. Provide quiet study atmosphere

1. Reference: Local history, LDS, Religion, Philosophy
2. Basic Orientation
2. Bibliographic Instruction (History)
2. Faculty relationship
2. Strong Townspeople mix
3. Volunteer staffing (free)
1. Microform storage and retrieval
  - Printing
  - Equipment purchases
2. Computerized reference fee?

AFTON MINER - SOCIAL SCIENCE

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1. Social Studies Reference
1. Library Useage Instruction
2. Children's books  
    Reviews - collection building
2. Collection Development
1. Personnel (Quality of Service)
1. Development of Collegial relationship with faculty

## DOUGLAS GOULD - CIRCULATION

139

1. Materials Charge/Discharge
4. Renewals/holds
4. Recalls
4. Traces (Missing bkg)
5. Locker/Carroll Issue
3. Exit Control
3. Building Security
2. Shelving

Overriding: Provides order and stability to enter library also provide final door delivery and accessibility.

## SUSAN FALES - DOCUMENTS

140

1. Reference service - Documents, Maps, Geography
1. Cataloging
  - Documents
  - Maps
1. Technical Processing
2. Budgeting Dilemma
  - Technical process
  - Patron use
2. Inservice Training
  - Technical
  - Reference desk
2. Personnel
  - Professionals
  - Students
1. Depository Collections

1. Reference business (Broad definition)  
Journals/Books/Microform
3. Circulation
2. Reserve
- 1-2. Computer Search - database
2. Training - orientation  
inservice  
outservice (patrons)
1. Consultation

1. References Services:
  - Direction to sources and/or locations
  - Information
  - Teach how to use courses
  - Help find books and serials
  - Check-out Periodicals and Special Loans
  - CARS searches
  - Bibliographic Instructions to classes
  - Help with using microfiche readers and printers
  - Public relations
1. Maintenance of Collection:
  - Shelving and shelf reading of reference collection
  - Keep reference collection and locked case in good repair
  - Report problems needing attention in stacks to circulation
  - Check in new books and serials
  - Maintain and file microfiche collections
  - Write call numbers for serials we have in lists of publications indexed by major indexes
  - Maintain pathfinder file
  - Maintain science shelf list
  - Take proper care of errata sheets, inserts and looseleaf services
  - Maintain orderly appearances of the floor
2. Collection Development:
  - Work with Faculty Library representatives to obtain books and journals needed
  - Review gift materials, consider for reference materials
  - Publishers advertisements and brochures and catalogs
  - Complete a Collection Development Leave project each year
2. Administrative:
  - Complete reports and other paperwork requested by supervisors
  - Train staff and student employees and supervise their work
  - Coordinate work schedules
  - Ensure library policies are followed
  - Take proper action in emergencies
  - Maintenance of physical facilities
3. Professional Development:
  - Follow guidelines, policies and procedures to meet this responsibility



APPENDIX O  
FINALIZED MISSION STATEMENT  
OF THE INFORMATION SERVICES DIVISION  
OF THE HAROLD B. LEE LIBRARY

**Mission Statement  
Information Services Division**

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The mission of the Information Services Division of the Lee Library is twofold: (1) To provide knowledgeable, efficient reference and information service to all patrons and (2) To provide appropriate formal and informal library use instruction to help patrons become self-sufficient in their use of the library.

APPENDIX P  
BRAUDE'S DEFINITION SHEET

Goals should be broad, general statements that reflect results necessary to accomplish the mission. There are usually several goals for each program area. Goals should be a description of the desired future.

Goals should--

- be broad in scope,
- extend over the maximum foreseeable future, 3-5 years,
- be action oriented; start with "to" do something.

Criteria for objectives should be specific in order to produce results. Again the major element is the ability to measure the objective. Types of objectives are:

|               |                                 |
|---------------|---------------------------------|
|               | Do more                         |
|               | Do same                         |
| Operation     | Do things efficiently           |
|               | Discontinue                     |
|               | Maintain organization (survive) |
| -----         |                                 |
| Effectiveness | Innovate                        |
|               | Improve quality                 |

Objectives should be developed for key result areas:

For whom - users

What - improve, expand, add new, phase out programs

How - collaboration, advocacy, participation

With what - finances, current funds, facilities  
and equipment, personnel

They should identify in each program area the important results which are expected. They should avoid just listing functional requirements or responsibilities, e.g., collect more books, circulate more items. Though vital to efficient functioning, they are not directly related to achievement of programs or library operational goals.

Source: Robert Bruade. C.E. 258 Planning: Strategic and Tactical, 1983.

APPENDIX Q  
BRAUDE'S OPERATING STRATEGIES WORKSHEET

Program Area:

Mission:

Goal:

Objective:

|    | Operating<br>Strategies | Person<br>Responsible | Date<br>Due |
|----|-------------------------|-----------------------|-------------|
| 1. |                         |                       |             |
| 2. |                         |                       |             |
| 3. |                         |                       |             |
| 4. |                         |                       |             |
| 5. |                         |                       |             |

Sources: Robert Braude, C.E. 258 Planning: Strategic and Tactical, 1983  
and Donald Riggs, Strategic Planning for Library Managers, 1984.

APPENDIX R  
PRE-TEST/POST-TEST STRATEGIC PLANNING  
ASSESSMENT INSTRUMENT



The strategic planning process is different in significant ways from conventional planning. This exercise is designed to check your understanding the differences between these two types of planning. Information gathered from this instrument will be used to help organize effective planning activities. Please write in the line to the right of each statement whether the statement is characteristic of Strategic Planning (SP), Conventional Planning (CP) or Neither (N).

### Activity

#### Arena of Planning:

Wide range of Issues, Nonroutine and routine  
Specific to non-routine issues  
Organization's destiny, market

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

#### Who Plans:

Top-level Officer  
Planning Office  
Lowest Level Workers

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

#### Time Orientation:

Medium/Short Range  
Long Range  
Short Range

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

#### System Perspective:

External, Environmental  
Internal, Organizational  
External, Organizational

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

#### Theoretical Perspective:

Closed System  
Combination Closed & Open Systems  
Open Systems

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

#### Decision Data:

Qualitative  
Both Quantitative and Qualitative  
Quantitative

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

#### Decision:

Exact Science  
Simple Art Form  
Complex Art Form

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

#### Outcome:

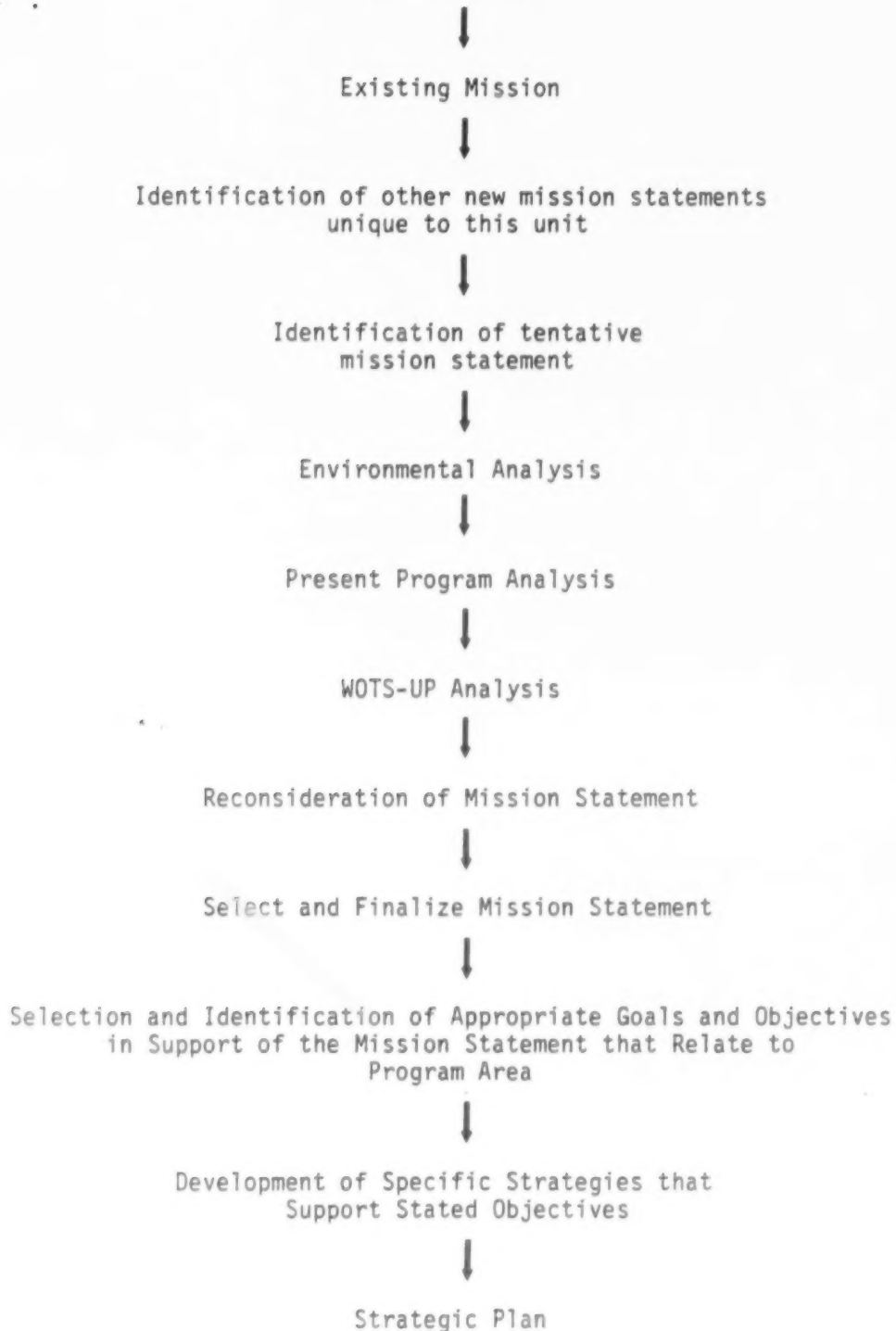
Crystalized Goals  
Stream of Critical Decisions  
Plan, Blueprint

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

APPENDIX S  
MODEL OF THE PLANNING PROCESSES FOR THE  
DEVELOPMENT OF A STRATEGIC PLAN  
FOR A PUBLIC SERVICE UNIT  
OF A LIBRARY

MODEL OF THE PLANNING PROCESSES FOR THE  
DEVELOPMENT OF A STRATEGIC PLAN  
FOR A PUBLIC SERVICES UNIT  
OF A LIBRARY

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APPENDIX T  
EVALUATION COVER LETTER

Date

Don Riggs

Dear Don:

I need your assistance in evaluating the strategic planning model which I developed for the Information Services Division of the Lee Library.

Will you please review the model and activity sheet and fill out the enclosed evaluation form as soon as possible.

Thank you,

Larry J. Ostler  
Asst. Univ. Librarian  
for Information Services

pjf

APPENDIX U  
EVALUATION OF THE STRATEGIC PLANNING  
MODEL FOR THE INFORMATION SERVICES  
DIVISION OF THE LEE LIBRARY

Evaluation of the Strategic Planning  
Model for the Information Services Division  
of the Lee Library

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Please comment on the attached "Model of the Planning Processes for the Development of a Strategic Plan for a Public Services Unit of a Library." The purpose for developing the model is to provide a strategic plan for the Information Services Division and to provide a model for other Library public service units.

1. Is the model self-explanatory? If not, what is not clear?
2. Please comment on the levels or steps of the flow chart/diagram used to implement the model.
3. Are there levels or steps in the model that should be omitted? Which one(s)?
4. Should there be additional levels or steps in the model? Please suggest.
5. Do you think this model could be used in another program?
6. Do you think this model can be replicated by another library?
7. Further comments or suggestions.



Evaluation of the Strategic Planning  
Model for the Information Services Division  
of the Lee Library

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Please comment on the attached "Model of the Planning Processes for the Development of a Strategic Plan for a Public Services Unit of a Library." The purpose for developing the model is to provide a strategic plan for the Information Services Division and to provide a model for other Library public service units.

1. Is the model self-explanatory? If not, what is not clear?

Very clear with the exception of "system perspective" and "theoretical perspective." I am not sure if system refers to library system or open system. If the latter, then use of "open system perspective" would be preferable.

2. Please comment on the levels or steps of the flow chart/diagram used to implement the model.

No comment; all are appropriate.

3. Are there levels or steps in the model that should be omitted? Which one(s)?

No; all are important and crucial to good planning. Although it may seem time consuming it is better to spend the time in the beginning than to waste time in implementation. You create ownership through this process.

4. Should there be additional levels or steps in the model? Please suggest.

No; I am assuming that some steps, e.g. defining goals and objectives, occur by departmental groups and the department head would construct his/her own steps for pursuing this process.

5. Do you think this model could be used in another program?

Yes. It is a good general model.

6. Do you think this model can be replicated by another library?

Yes. Same reason as 5. I assume that when the planning is at the sub-unit level, that the overall mission of the organization is examined before writing the sub-unit mission.

7. Further comments or suggestions.

With leadership coming from someone at the top and with either a planning committee or an individual guiding the process who is familiar with strategic planning, this model should result in an effective plan. It is important to remember that what is most valuable is the process. The actual written plan is not as critical as an internalization by everyone of the process which means that they are willing to critically examine every program and change in response to changing conditions. A strategic planning perspective on the part of staff allows for most efficient and effective allocation of resources and even program growth and development under restricted resource conditions.

Evaluation of the Strategic Planning  
Model for the Information Services Division  
of the Lee Library

Please comment on the attached "Model of the Planning Processes for the Development of a Strategic Plan for a Public Services Unit of a Library." The purpose for developing the model is to provide a strategic plan for the Information Services Division and to provide a model for other Library public service units.

- Yes
1. Is the model self-explanatory? If not, what is not clear? *Too much emphasis/time may be spent on the mission statement. As you know, the mission statement for your information services division will have to be in congruence with the mission statement of Lee Library. Also, mission statements are normally written in the abstract, not in the specific.*
  2. Please comment on the levels or steps of the flow chart/diagram used to implement the model.
  3. Are there levels or steps in the model that should be omitted? Which one(s)? *No.*
  4. Should there be additional levels or steps in the model? Please suggest. *Further breakdown needs to be given to goals and objectives. Also, primary emphasis in a "strategic" planning process has to be devoted to the formulation and execution of strategies.*
  5. Do you think this model could be used in another program?  
*Definitely.*
  6. Do you think this model can be replicated by another library?  
*Yes, if it expanded as I have indicated.*
  7. Further comments or suggestions.

*Long -*  
*You are on target! In addition to the above suggestions, I would encourage you to have sections in your model on policies, resource allocation, and evaluation (it is critical to have an evaluation mechanism built into your model) You may also want to specify that the planning process will be multi-year (i.e., 3 or 5 years).*  
*Good luck & best regards,*  
*Don Roper*

Evaluation of the Strategic Planning  
Model for the Information Services Division  
of the Lee Library

Please comment on the attached "Model of the Planning Processes for the Development of a Strategic Plan for a Public Services Unit of a Library." The purpose for developing the model is to provide a strategic plan for the Information Services Division and to provide a model for other Library public service units.

1. Is the model self-explanatory? If not, what is not clear?

The model is self-explanatory if one is familiar with the terminology; many people in organization are unclear as to terminology and what is to occur at each stage.

2. Please comment on the levels or steps of the flow chart/diagram used to implement the model.

Do goals and objectives come before strategies - or are they a result of strategies? Confusion on this aspect exists in the field. The answer is dependent upon your definitions. Where do the actual actions to achieve

3. Are there levels or steps in the model that should be omitted? Which one(s)? No

the model? Or are the strategies the actions? A

4. Should there be additional levels or steps in the model? Please suggest.

After 3 analysis stages, need to identify the critical issues that strategies need to address.

Strategic Plan is a broad statement of how an organization intends to deal with its environment and critical issues.

5. Do you think this model could be used in another program?

Very easily if understand the process.

6. Do you think this model can be replicated by another library?

Very easily if understand the process.

7. Further comments or suggestions.

Portions of the process should be repeated on a regular basis. Mission statement should serve an organization for many years. However, environmental analysis, program evaluation, WOTS-UP Analysis should occur, at a minimum, annually which would result in possibly new <sup>critical issues</sup> strategies, actions, objectives and goals. Strategies usually are in place for several years with resultant new <sup>critical issues</sup> strategies and goals yearly. A rapidly changing environment <sup>in our case</sup> require a review of strategic plan <sup>document is only a snapshot</sup>

Evaluation of the Strategic Planning  
Model for the Information Services Division  
of the Lee Library

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Please comment on the attached "Model of the Planning Processes for the Development of a Strategic Plan for a Public Services Unit of a Library." The purpose for developing the model is to provide a strategic plan for the Information Services Division and to provide a model for other Library public service units.

1. Is the model self-explanatory? If not, what is not clear?

*Yes - model is clear though individual without background in strategic planning would not understand*

2. Please comment on the levels or steps of the flow chart/diagram used to implement the model. *WOTS.*

*Steps are clear & follow strategic planning models.*

3. Are there levels or steps in the model that should be omitted? Which one(s)?

*No*

4. Should there be additional levels or steps in the model? Please suggest.

*although you mention implementation steps in log report, I think it should be separate step*

5. Do you think this model could be used in another program?

*Yes*

6. Do you think this model can be replicated by another library?

*Yes*

7. Further comments or suggestions.

*Planning model looks good - I would like to see results of your planning.*

4. At least in my plan it is an extremely important step & very time consuming. Also - your model implies that at you are finished with strategic planning at the bottom of the chart whereas it is a continuous loop.

APPENDIX V  
PARTICIPANTS' STRATEGIC  
PLANNING PROCESS  
EVALUATION FORM

# STRATEGIC PLANNING PROCESS EVALUATION FORM

The following statements represent your best judgment. Kindly check your position on the scale as the statement first impresses you. Indicate what you believe rather than what you think you should believe.

SA = I strongly agree  
A = I agree  
U = I am undecided  
D = I disagree  
SD = I strongly disagree

1. Mechanisms were provided for frequent staff interaction.
2. Guidance was provided in problem-solving techniques.
3. Organization's destiny and market were of prime concern during the planning activities.
4. Normal operating procedures were relaxed.
5. Appropriate top-level officers in the library were involved in the planning.
6. Appropriate in-house training was provided for group interaction.
7. Communication was encouraged between staff and management.
8. Adequate support was provided for the decisions reached.
9. Planning activities revolved around a medium to short-range time frame.
10. Emphasis of the planning was internal and organizational rather than external and environmental.
11. Planning process was typified more by an open system than a closed system.

| SA          | A           | U           | D           | SD          |
|-------------|-------------|-------------|-------------|-------------|
| 8<br>72.72% | 3<br>27.28% | 0<br>0%     | 0<br>0%     | 0<br>0%     |
| 2<br>18.18% | 7<br>63.64% | 0<br>0%     | 2<br>18.18% | 0<br>0%     |
| 4<br>36.36% | 6<br>54.54% | 0<br>0%     | 1<br>9.10%  | 0<br>0%     |
| 1<br>9.09%  | 4<br>36.36% | 1<br>9.09%  | 5<br>45.46% | 0<br>0%     |
| 3<br>27.28% | 6<br>54.54% | 1<br>9.09%  | 1<br>9.09%  | 0<br>0%     |
| 2<br>18.18% | 7<br>63.64% | 0<br>0%     | 2<br>18.18% | 0<br>0%     |
| 4<br>36.36% | 6<br>54.54% | 1<br>9.09%  | 0<br>0%     | 0<br>0%     |
| 1<br>9.09%  | 5<br>45.45% | 4<br>36.37% | 1<br>9.09%  | 0<br>0%     |
| 4<br>36.36% | 7<br>63.64% | 0<br>0%     | 0<br>0%     | 0<br>0%     |
| 1<br>9.10%  | 2<br>18.18% | 0<br>0%     | 6<br>54.54% | 2<br>18.18% |
| 2<br>18.18% | 6<br>72.72% | 0<br>0%     | 1<br>9.10%  | 0<br>0%     |



12. Decisions arrived at during the planning were both qualitative and quantitative.
13. Planning proved to be an exact science rather than an art form.
14. A perfect plan was produced by this group.

| SA          | A           | U           | D           | SD          |
|-------------|-------------|-------------|-------------|-------------|
| 2<br>18.18% | 7<br>63.64% | 1<br>9.09%  | 1<br>9.09%  | 0<br>0%     |
| 0<br>0%     | 0<br>0%     | 2<br>18.18% | 4<br>36.36% | 5<br>45.45% |
| 0<br>0%     | 0<br>0%     | 2<br>18.18% | 8<br>72.72% | 1<br>9.10%  |



APPENDIX W  
DEVELOPMENT OF THE MISSION STATEMENT  
FOR THE INFORMATION SERVICES DIVISION  
OF THE HAROLD B. LEE LIBRARY

Statements taken from existing Library mission document:  
Phase I (March 11)

...and make available for use a collection of the recorded knowledge of mankind in support of the goals of the University, to assist patrons in finding and using these resources and information resources elsewhere, and to foster and encourage learning and scholarship.

Formalize effective programs for short- and long-range planning and budget support based on established priorities and annual reviews to meet the changing needs of teaching research.

Where an approved branch has been established, such as the law school library, provide for maximum cooperation and coordination to minimize the duplication of resources and to make the materials and services effectively available to the entire university community.

House services and resources in space that assures proper conditions and security of the collections, provides for the comfort and study requirements of users, promotes efficient staff operations, and enhances general library operations.

Use new advances in technology and automation in library operations as their development promises efficient, significant improvement in making needed resources readily accessible.

Provide effective and efficient library patron services so that library users will have maximum ready access to library information and materials they need.

Statement developed from "brainstorming" session with planners: Phase II (March 18)

The mission of the Information Services Division of the Lee Library is to service the user by expediting his/her access to information in a manner that is consistent with the christian values of Brigham Young University. The responsibility to provide information which most precisely meets the user's need, also entails instructing patrons in library use.

Statement developed after planners had completed several activities: environmental analysis, program analysis, and WOTS-UP analysis. Phase III (April 8)

The mission of the information Services Division of the Lee Library is twofold: (1) To provide knowledgeable, efficient reference and information service to all patrons according to their needs, and (2) To provide appropriate formal and informal library use instruction to help patrons become as self-sufficient in library use as necessary.

Final statement adopted by planning group and approved by University Librarian. Phase IV (April 15)

The mission of the information Services Division of the Lee Library is twofold: (1) To provide knowledgeable, efficient reference and information service to all patrons and (2) To provide appropriate formal and informal library use instruction to help patrons become self-sufficient in their use of the library.

APPENDIX X  
WOTS-UP DATA  
FROM PLANNING GROUP

**WEAKNESSES**

Size of staff

Divisional organization

Automation

Lack of consistency between floors

Shot-gun management (fragmentation, lack of focus)

Assignment of responsibilities

Communication (organizational)

\$\$ Collections and automation (ethics vs. \$)

Professional development

Noise, food, general atmosphere

Too ambitious

Budgeting processing and reporting

Weak collection

Document delivery

Spread too thin

## OPPORTUNITIES

169

Bibliographic instruction

Nosie, food and general atmosphere

Professional Development

Public Relations

Technology (positive use)

Innovative in our service

Specific activities to improve service

Faculty outreach

## THREATS

170

Automation (time, priority setting, training, psychologically)

Demands from outside

Success (price of)

Competition between divisions  
    money  
    evaluation

Lack of plan (library wide)

Professional Development



**STRENGTHS**

Service orientation  
Strong collections in some areas  
Size of staff  
Divisional organization  
Automation  
Ability to work together  
Professional development  
Cooperativeness  
Ambitious  
Style of administration  
Relationships

APPENDIX Y  
INDIVIDUAL STRATEGIC PLANS

Program Area: Computer-Assisted Research Services

Mission: Effective reference/information services

Goal: To provide effective access to periodical indexes through computerized bibliographic databases.

Objective: By Fall 1985 become familiar with the content and key words of 10 of the most used databases including Wilsonline's indexes (Those I feel inadequate with).

|    | Operating<br>Strategies                                                                                                                        | Person<br>Responsible | Date<br>Due |
|----|------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|-------------|
| 1. | Identify the most used databases and whether they have thesauri                                                                                | Connie Lamb           | 7/1/85      |
| 2. | Spend a minimum of a half hour with each of the corresponding print indexes (checking, terminology, formats, subject coverage, journals, etc.) | Connie Lamb           | 7/31/85     |
| 3. | Spend time with Wilson indexes for familiarity and use on line when appropriate.                                                               | Connie Lamb           | 8/1/85      |

Program Area: Humanities and Arts Reference

Mission: Library Use Instruction

Goal: To improve patron expertise in using library materials.

Objective: Workshop for Arts and Humanities Citation Index

|    | Operating<br>Strategies                      | Person<br>Responsible                                     | Date<br>Due |
|----|----------------------------------------------|-----------------------------------------------------------|-------------|
| 1. | Inspire faculty and students to participate  | Blaine Hall                                               |             |
| 2. | Plan workshop activities                     | Blaine Hall                                               |             |
| 3. | Produce teaching aids (transparencies, etc.) | Blaine Hall,<br>Leila Lawrence,<br>and student assistants |             |

Program Area: Tanner Library

Mission: Effective reference/information services

Goal: Provide formalized training for students working at Tanner Library.

Objective: 1. Written objectives for students  
2. Training packets  
3. Updating on a regular basis

| Operating Strategies                                                                                                            | Person Responsible | Date Due        |
|---------------------------------------------------------------------------------------------------------------------------------|--------------------|-----------------|
| 1. Write out realistic objectives for students to follow                                                                        | Gordon Casper      | 8/85            |
| 2. Outline major sources that all students should know, with written summaries describing these sources and how to use them     | Gordon Casper      | 8/85            |
| 3. Performance interviews each semester with each student                                                                       | Gordon Casper      | Begin Fall 1985 |
| 4. Written performance evaluation that would cover each student's job and reflect their understanding of their responsibilities | Gordon Casper      | 8/85            |

Program Area: Circulation

Mission: Effective reference/information service

Goal: To provide accessibility to virtually all materials available in the Library's circulating collection.

Objective: Automate procedures for tracking the status of all books not on the shelf during a 24-hour period, i.e. traces, by December 31, 1985.

| Operating<br>Strategies                                                                      | Person<br>Responsible | Date<br>Due |
|----------------------------------------------------------------------------------------------|-----------------------|-------------|
| 1. Input all traces on<br>PC File III program                                                | Barbara Comer         | 11/30/85    |
| 2. Promote programming<br>modifications on LUIS<br>to allow viewing of<br>circulation status | Douglas Gould         | 7/31/85     |

Program Area: Social Sciences

Mission: Library use instruction

Goal: To provide appropriate formal and informal library use instruction to help patrons become self-sufficient in their use of the library.

Objective: By Winter, 1986, identify appropriate faculty members and work with them to develop plans for integrating bibliographic instruction into at least one class in each department of the college of Education.

| Operating<br>Strategies                                                                                                                                                      | Person<br>Responsible | Date<br>Due |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|-------------|
| 1. Call each faculty library representative to follow-up on discussion of Williamette Conference and set times to help plan integration into the classes they had suggested. | Afton Miner           | 8/1/85      |
| 2. Call Dr. Todd to follow-up on discussion and offer to help with Ed. Psych. 204 for summer session, as per her request. Suggest we discuss it over lunch.                  | Afton Miner           | 5/15/85     |
| 3. Finish reading the three books suggested in conference readings.                                                                                                          | Afton Miner           |             |
| <u>Theories of Bibliographic Education</u>                                                                                                                                   |                       | 4/10/85     |
| <u>Education as a Discipline</u>                                                                                                                                             |                       | 6/30/85     |
| <u>Learning the Library</u>                                                                                                                                                  |                       | 8/1/85      |



Program Area: General Reference

Mission: Effective reference/information service

Goal: To train department employees to appropriately refer patrons to other library departments or service areas.

Objective: By Fall, 1985, develop an exchange program for student employees whereby major tools and services at other reference desks are studied.

| Operating Strategies                                                                                                                                                           | Person Responsible                              | Date Due           |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|--------------------|
| 1. Visit with chairmen on Levels, 1, 2, 4, & 5 to assess scope of emphasis on each floor.                                                                                      | Julene Butler                                   | End of Spring term |
| 2. Take student employees to meet with librarians in various departments during weekly staff meetings. Assess needs and questions expressed by students during these sessions. | Julene Butler and other librarians as scheduled | End of Summer term |
| 3. Conduct a trial exchange session on one floor                                                                                                                               | Julene Butler                                   | July 1985          |

Program Area: Documents and Maps Department

Mission: Effective reference/information service

Goal: To provide more effective information services in U.S. government publications over the next 10 years.

Objective: Will provide for patron use on the ILS all fully cataloged monograph records of all U.S. government publications beginning with the documents cataloged in the January 1985 Monthly Catalog computer tapes

|    | Operating<br>Strategies                                                                                 | Person<br>Responsible                                | Date<br>Due |
|----|---------------------------------------------------------------------------------------------------------|------------------------------------------------------|-------------|
| 1. | Establish a selection and product profile for cataloging with Marchive, Inc. of San Antonio, Texas      | Susan Fales                                          | Done        |
| 2. | Determine problem areas on the tapes by comparing shelflist cards received from Marchive with shelflist | Susan Fales                                          | June 1985   |
| 3. | Develop a filing manual to assist a student to take over filing                                         | Susan Fales,<br>Dept. Secretary<br>and student filer | 5/15/85     |
| 4. | Develop a procedure with Automations to interface the GPO tapes with the RLIN tapes                     | John Taylor                                          | 6/24/85     |
| 5. | Develop a procedure for deleting and changing records on the system                                     | Susan Fales<br>John Taylor                           | July 1985   |

Program Area: Documents and Maps Department

Mission: Effective reference/information service

Goal: To provide more effective information services in U.S. government publications over the next 10 years.

Objective: Will catalog all retrospective monographic U.S. documents prior to the July 1976 GPO tapes onto the ILS for patron use. This project will begin in Fall 1985.

| Operating Strategies                                                                                                                                                                                            | Person Responsible            | Date Due    |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------|-------------|
| 1. Identify specific areas of the collection for full cataloging                                                                                                                                                | Susan Fales                   | 5/15/85     |
| 2. Learn searching on the RLIN terminal by searching and printing copy for specific records I wish to catalog                                                                                                   | Susan Fales<br>Karen Matthews | 6/15/86     |
| 3. Train on the MARC tagging workbook                                                                                                                                                                           | Susan Fales<br>Gloria Jenson  | August 1985 |
| 4. Learn specific NOTIS Fixed fields and adapt to an IBM disc                                                                                                                                                   | Susan Fales<br>Gloria Jenson  | August 1985 |
| 5. Learn the AACRII cataloging rules as they apply to documents cataloging, by using <u>Anglo-American Cataloging Rules II</u> and <u>A Manual of Interpretation for AACRII Cataloging Government Documents</u> | Susan Fales                   | Sept. 1985  |

Program Area: Documents and Maps Department

Mission: Effective reference/information service

Goal: To provide more effective information services in U.S. government publications over the next 10 years.

Objective: Will provide beginning with Fall 1985, for patron use on the ILS full MARC catalog copy for all U.S. document monographs on the GOP computer tapes from July 1976 through December 1984.

| Operating Strategies                                                                                                                  | Person Responsible                                               | Date Due    |
|---------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|-------------|
| 1. The tapes are owned by the Merrill Library, USU, and an agreement needs to be worked out with them to permit our manipulation      | Susan Fales<br>Robert Murdoch (USU)                              | July 1985   |
| 2. Work with Automations to develop a time frame and procedure for mounting the tapes                                                 | Susan Fales<br>John Taylor                                       | August 1985 |
| 3. Develop a procedure for determining which records will be compatible for loading into the ILS and which need changing or upgrading | Susan Fales,<br>John Taylor,<br>Ratna Revankar<br>Karen Matthews | August 1985 |
| 4. Develop a procedure for upgrading and changing the records for compatibility with our library's holdings                           | Ratna Revankar,<br>John Taylor<br>Karen Matthews                 | Sept. 1985  |
| 5. Determine a procedure for working our way through the collection, by call number for example                                       | Ratna Revankar<br>Susan Fales                                    | Sept. 1985  |

Program Area: Current Periodicals/Course Reserve

Mission: Effective reference/information service

Goal: To inform the faculty of the purpose and use of the Course Reserve

Objective: Establish a clear description of the Course Reserve's function and purpose and distribute that information to the faculty by Fall Semester 1986.

| Operating Strategies                                                                                                       | Person Responsible           | Date Due   |
|----------------------------------------------------------------------------------------------------------------------------|------------------------------|------------|
| 1. Research the historical functions and purpose of the HBLL Reserve                                                       | Thomas Wells                 | Aug. 1985  |
| 2. Research other Universities' Course Reserve and their function and purpose                                              | Thomas Wells                 | Nov. 1985  |
| 3. Draft a current functions and purpose statement for the HBLL Course Reserve that is in harmony with mission statements. | Thomas Wells                 | Feb. 1986  |
| 4. Final draft and printing                                                                                                | Dona Magnuson                | Mar. 1985  |
| 5. Distribute the information to all BYU faculty members                                                                   | Thomas Wells<br>Mail Service | April 1986 |

Program Area: History and Religion

Mission: Library use instruction

Goal: Provide adequate library use instructions for patrons

Objective: To increase patron awareness of and self-confidence in using "BYLINE" by integrating on-line catalog instructions into regular library orientation lectures by fall semester, 1985.

| Operating Strategies                                                                                                                                                            | Person Responsible | Date Due |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|----------|
| 1. Observe patron reaction to BYLINE during summer term to determine common misconceptions and errors so that they can be corrected when introducing the system to others       | Donald Howard      | 8/15/85  |
| 2. Hold a "get acquainted" session with history faculty early in fall semester so that they feel comfortable and enthusiastic about BYLINE before it is discussed with students | Donald Howard      | 9/15/85  |
| 3. Integrate information on BYLINE into lecture notes and printed handouts for fall semester                                                                                    | Donald Howard      | 9/15/85  |

Program Area: Science

Mission: Effective reference/information service

Goal: Train student assistants to provide effective information service

Objective: Complete final draft of student training manual and implement its use for new students hired by September 1985.

|    | Operating<br>Strategies                                                         | Person<br>Responsible                         | Date<br>Due |
|----|---------------------------------------------------------------------------------|-----------------------------------------------|-------------|
| 1. | Proofread manual and make final wording and spelling corrections                | Richard Jensen                                | 7/20/85     |
| 2. | Add a section on using ILS to help patrons                                      | Richard Jensen (write)<br>Brenda Coker (type) | 8/10/85     |
| 3. | Become familiar enough with manual so I can use it more effectively in training | Richard Jensen                                | 8/20/85     |

## BIOGRAPHICAL SKETCH OF PARTICIPANT

LARRY OSTLER  
936 North 700 East  
Orem, UT 84057

Larry Ostler is presently Assistant University Librarian for Information Services at the Harold B. Lee Library at Brigham Young University, Provo, Utah. Prior to being employed at Brigham Young, he served as the Director of the Learning Resources Center at Ricks College, Rexburg, Idaho where he taught in the Education Department and served as the the Serials Librarian. His teaching/librarian experience also includes elementary and secondary schools.

He attended two southern California community colleges: Santa Monica City College and El Camino Junior College prior to transferring to Brigham Young University. Graduating with a major in history and a minor in English he certified as a secondary teacher in the state of Utah. He also earned his Masters of Library and Information Science degree at Brigham Young University where he was the graduate teaching assistant for the department.

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### Publications include:

Editor: Ricks Listening Post, 1973-75  
"Leading the Way: An Online Public Catalog at Ricks College," Idaho Librarian, Vol. 35, No. 2 (April 1983) pp.22-23.  
"Television - A Matter of Discernment," New Perspectives, Vol. 2, No. 8, (April 1983) pp.4-5.  
"A study to determine the effectiveness of Online Catalog Use for Ricks College Freshmen at the Learning Resources Center." ERIC Document ED 251153, 1983.